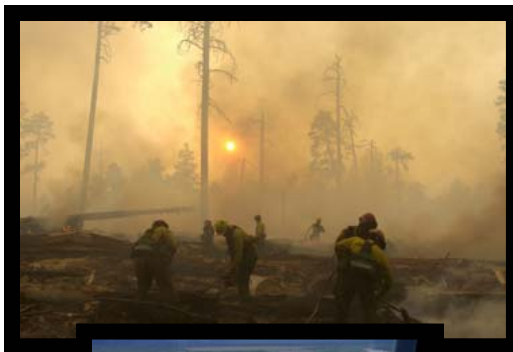




Disaster Recovery Guidebook





Division of Emergency Management Recovery Office

Disaster Recovery Guidebook

The Arizona Division of Emergency Management's Recovery Section provides support to communities and local governments in recovering from any State declared disaster event. Recovery activities return a community back to normal after a disaster. This support begins with damage identification and assessment immediately following an event and continues with providing financial assistance in rebuilding public infrastructure.

The Governor may proclaim a state of emergency after a political subdivision has passed a resolution stating that an emergency exists in their jurisdiction(s) AND it is above and beyond their capability. The Governor may provide Public Assistance to the affected Political Subdivision(s) of the state (counties, cities, towns, state agencies). The Governor has an annual Emergency Fund of \$4 million dollars to cover the costs of emergencies and disasters. The Arizona Division of Emergency Management (ADEM) Recovery Section administers this fund.

In some cases, a disaster is beyond the capability of the State and local governments. When that is the case, the Governor will request federal assistance from FEMA through the President of the United States. The recovery process for a single event is not complete until all the work has been accomplished inspected and the documentation audited. Once the recovery process for a single event is complete the declared disaster is terminated. The State of Arizona averages four to five (4-5) State declared disaster events each fiscal year.

The [Disaster Recovery Guidebook](#) is designed to assist you with the recovery process beginning with the incident and continuing through the declaration process, applicant notification and briefings, the identification, monitoring and inspection of projects, and ending with the audit and final payment for eligible work.

For additional information regarding the Recovery Program, please [contact us](#) for your area of interest.



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

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- [2. CITY - TOWN - POLITICAL SUBDIVISION RESPONSE](#)
- [3. COUNTY RESPONSE](#)
- [4. COUNTY EMERGENCY RESOLUTION](#)
- [5. APPLICATION FOR STATE ASSISTANCE](#)
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- [19. AUDIT](#)
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- [21. LIST OF FORMS](#)



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook



1. INCIDENT

Definition: The existence of extreme peril to the safety of persons or property caused by air pollution, fire, flood or flood water, storm, epidemic, riot, earthquake, hostile acts or other causes.





Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

2. CITY / TOWN / POLITICAL SUBDIVISION RESPONSE

RESPONSE

Definition: Activities that are designed to provide emergency assistance, limit the primary damage effects, reduce the probability of secondary damage and speed recovery operations.

Action: When a locality has responded and recovery is within their local resources the process stops at this point.

If they become overwhelmed by the magnitude of the damage, the community turns first to the county for assistance.

If assistance is required the local political subdivision should submit the following items to the county along with their request.

- an Emergency Resolution
- a completed Incident Information Questionnaire
- a completed Preliminary Damage Assessment

Form Links:

ADEM Incident Information Questionnaire

Preliminary Damage Assessment Site Summary

Preliminary Damage Assessment Site Estimate

ADEM

Incident Information Questionnaire

Assessment of: _____

Assessment Performed by: _____

Date Assessment Performed: _____

ADEM Representatives: _____

The Incident Assessment is designed to give the State of Arizona a clear picture of an event. Please complete all pertinent questions with as much detail as possible, and attach any supporting documentation.

Part 1

General

1.	Define the problem / emergency at hand.
2.	Do you have a local emergency response and recovery plan? Yes / No
a.	Has this plan been invoked? Yes / No
b.	Please list actions taken to date.
c.	What is your notification procedure? (Please attach)
d.	Have you followed this documented notification procedure? Yes / No
3.	<div style="display: flex; justify-content: space-between;"> This incident is.... <div style="text-align: center;"> New Repetitive Seasonal </div> </div>
4.	Is this event related to potable water issues? If yes, please complete the ADEM Initial Potable Water Assessment and attach. Yes / No
5.	Are there any photographs available of this event / incident? If yes, please attach copies. Yes / No
6.	Are there any detailed maps of the affected area? If yes, please attach copies. Yes / No

Part 2**Background**

7. Describe any pertinent background / historical information pertaining to this event.

Part 3**Impacts**

8. What is the population of the affected area?
- a. What is the number of citizens injured?
- b. What is the number of fatalities?
9. Are the affected homes primary or secondary residences? Primary / Secondary
10. List the number of businesses in the affected area.
- a. What is the number of businesses damaged?
- b. What is the number of businesses destroyed?

Part 4**Response**

11. Have you executed an emergency resolution for this event? Yes / No
- a. If not, Why?
- b. If yes, what date was the resolution executed?
- c. If yes, please attach a copy of the emergency resolution.
- d. Has the County executed an emergency resolution for this event? Yes / No
- e. Have you contacted the County regarding this emergency situation? Yes / No
- f. If not, Why?

12.	Have you activated your Emergency Operations Center?	Yes / No
-----	--	----------

13.	Are you logging this incident on E-Team?	Yes / No
-----	--	----------

14.	What has been the local action / response to the situation to date?	Used (Please indicate and describe.)	Exhausted ?
	Financial		Yes / No
	Labor		Yes / No
	Equipment		Yes / No
	Material		Yes / No
	Contract		Yes / No

15.	Are there other local resources available?	Yes / No
-----	--	----------

a.	If yes, please describe.
----	--------------------------

16.	Have you requested any Mutual Aid?	Yes / No
-----	------------------------------------	----------

a.	Whom have you contacted?
b.	What was your request?
c.	What is the availability of the requested resource?

17.	Other agencies contacted or responding:	Contacted	Responding
	Immigration	Yes / No	Yes / No
	Sheriff	Yes / No	Yes / No
	Department of Public Safety	Yes / No	Yes / No
	Department of Environmental Quality	Yes / No	Yes / No
	Department of Water Resources	Yes / No	Yes / No
	Fire Department	Yes / No	Yes / No
	State Land Department	Yes / No	Yes / No
	Health Department	Yes / No	Yes / No
	Red Cross	Yes / No	Yes / No
	Salvation Army	Yes / No	Yes / No
	Other Volunteer Organizations Contacted or Responding		

Part 5**Ownership / Responsibility**

- | | | |
|-----|---|----------|
| 18. | Who is the party responsible for the facility / area impacted by this event? | |
| 19. | Who owns the facility? | |
| 20. | Is the owner of the facility considered to be a political subdivision? | Yes / No |
| a. | If no, please define. | |
| 21. | Who is responsible for the operation of the facility? | |
| 22. | Who maintains the facility? | |
| 23. | Is the facility insured? | Yes / No |
| 24. | Do you have any contingency / emergency funds available? (Obtain a copy of the applicant's budget for review.) | Yes / No |
| 25. | Have you explored any other funding sources? | Yes / No |
| a. | If yes, who have you contacted? | |
| 26. | Is there any other federal agency / authority responsible for the response and recovery from the situation at hand? | Yes / No |
| a. | If yes, Who? | |

Part 6**Environmental Concerns**

- | | | |
|-----|--|-------------------|
| 27. | Does the damaged facility or item of work have insurance and/or is it an insurable risk? (i.e. buildings, equipment, vehicles, etc.) | Yes / No / Unsure |
| a. | If yes or unsure, please provide comments. | |

28.	Is the damaged facility located within a floodplain or does it have an impact on a floodplain?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

29.	Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more/similar buildings?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

30.	Are there any pristine or undisturbed areas on, or near, the damage site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

31.	Are there any hazardous materials at or adjacent to the damaged site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

32.	Are there any other environmentally or controversial issues associated with the damaged area?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

33.	Are there other Environmental Issues concerning:	
	Domestic Animals If yes, please explain	Yes / No
	Wildlife If yes, please explain	Yes / No
	Agricultural If yes, please explain	Yes / No

Natural Landscape If yes, please explain	Yes / No
Improved Property If yes, please explain	Yes / No
State Land If yes, please explain	Yes / No
Federal Land If yes, please explain	Yes / No
Private Land If yes, please explain	Yes / No

[Part 7](#)

Needs / Requests

34. Specific Needs or Requests – please provide a description and include the estimated cost.

Immediate (0-10 days)
Short Term (10-90 days)
Long Term (90+ days)

35. Other Pertinent Information

Other Pertinent Information

ARIZONA DIVISION OF EMERGENCY MANAGEMENT PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE			DATE	
PART I — APPLICANT INFORMATION				
COUNTY		NAME OF APPLICANT		PHONE NO.
		NAME OF LOCAL CONTACT		
PART II — SITE INFORMATION				
KEY FOR DAMAGE CATEGORY (<i>Use appropriate letters in the "category" blocks below</i>)				
a. DEBRIS REMOVAL		d. WATER CONTROL FACILITIES		g. OTHER (<i>Parks, Recreational Facilities, etc.</i>)
b. PROTECTIVE MEASURES		e. PUBLIC BUILDINGS		
c. ROADS AND BRIDGES		f. PUBLIC UTILITIES		
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
NAME OF INSPECTOR		AGENCY		HOME PHONE NO.
		OFFICE PHONE NO.		



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

3. COUNTY RESPONSE

When a county has responded and recovery is within their resources, the process stops at this point.

If they are overwhelmed by the magnitude of the damage, the county may request help from the state.

When seeking assistance from the state, the county will need to complete* and submit the following:

- Request for State Assistance;
- Emergency Resolution;
- Preliminary Damage Assessment (summary & site forms);
- ADEM Incident Information Questionnaire (for each affected locality);

* ADEM will assist, when requested, in completing the forms and assessments.

The city, town or political subdivision may request the county to issue an emergency resolution when requesting assistance.

Form Links:

[ADEM Incident Information Questionnaire](#)

[Preliminary Damage Assessment Site Summary](#)

[Preliminary Damage Assessment Site Estimate](#)

ADEM

Incident Information Questionnaire

Assessment of: _____

Assessment Performed by: _____

Date Assessment Performed: _____

ADEM Representatives: _____

The Incident Assessment is designed to give the State of Arizona a clear picture of an event. Please complete all pertinent questions with as much detail as possible, and attach any supporting documentation.

Part 1

General

1.	Define the problem / emergency at hand.		
2.	Do you have a local emergency response and recovery plan? Yes / No		
a.	Has this plan been invoked? Yes / No		
b.	Please list actions taken to date.		
c.	What is your notification procedure? (Please attach)		
d.	Have you followed this documented notification procedure? Yes / No		
3.	<table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">This incident is....</td> <td style="width: 60%;"> <div style="border: 1px solid black; padding: 2px;">New</div> <div style="border: 1px solid black; padding: 2px;">Repetitive</div> <div style="border: 1px solid black; padding: 2px;">Seasonal</div> </td> </tr> </table>	This incident is....	<div style="border: 1px solid black; padding: 2px;">New</div> <div style="border: 1px solid black; padding: 2px;">Repetitive</div> <div style="border: 1px solid black; padding: 2px;">Seasonal</div>
This incident is....	<div style="border: 1px solid black; padding: 2px;">New</div> <div style="border: 1px solid black; padding: 2px;">Repetitive</div> <div style="border: 1px solid black; padding: 2px;">Seasonal</div>		
4.	Is this event related to potable water issues? If yes, please complete the ADEM Initial Potable Water Assessment and attach. Yes / No		
5.	Are there any photographs available of this event / incident? If yes, please attach copies. Yes / No		
6.	Are there any detailed maps of the affected area? If yes, please attach copies. Yes / No		

Part 2**Background**

7. Describe any pertinent background / historical information pertaining to this event.

Part 3**Impacts**

8. What is the population of the affected area?
- a. What is the number of citizens injured?
- b. What is the number of fatalities?
9. Are the affected homes primary or secondary residences? Primary / Secondary
10. List the number of businesses in the affected area.
- a. What is the number of businesses damaged?
- b. What is the number of businesses destroyed?

Part 4**Response**

11. Have you executed an emergency resolution for this event? Yes / No
- a. If not, Why?
- b. If yes, what date was the resolution executed?
- c. If yes, please attach a copy of the emergency resolution.
- d. Has the County executed an emergency resolution for this event? Yes / No
- e. Have you contacted the County regarding this emergency situation? Yes / No
- f. If not, Why?

12.	Have you activated your Emergency Operations Center?	Yes / No
-----	--	----------

13.	Are you logging this incident on E-Team?	Yes / No
-----	--	----------

14.	What has been the local action / response to the situation to date?	Used (Please indicate and describe.)	Exhausted ?
	Financial		Yes / No
	Labor		Yes / No
	Equipment		Yes / No
	Material		Yes / No
	Contract		Yes / No

15.	Are there other local resources available?	Yes / No
-----	--	----------

a.	If yes, please describe.
----	--------------------------

16.	Have you requested any Mutual Aid?	Yes / No
-----	------------------------------------	----------

a.	Whom have you contacted?
b.	What was your request?
c.	What is the availability of the requested resource?

17.	Other agencies contacted or responding:	Contacted	Responding
	Immigration	Yes / No	Yes / No
	Sheriff	Yes / No	Yes / No
	Department of Public Safety	Yes / No	Yes / No
	Department of Environmental Quality	Yes / No	Yes / No
	Department of Water Resources	Yes / No	Yes / No
	Fire Department	Yes / No	Yes / No
	State Land Department	Yes / No	Yes / No
	Health Department	Yes / No	Yes / No
	Red Cross	Yes / No	Yes / No
	Salvation Army	Yes / No	Yes / No
	Other Volunteer Organizations Contacted or Responding		

Part 5**Ownership / Responsibility**

- | | | |
|-----|---|----------|
| 18. | Who is the party responsible for the facility / area impacted by this event? | |
| 19. | Who owns the facility? | |
| 20. | Is the owner of the facility considered to be a political subdivision? | Yes / No |
| a. | If no, please define. | |
| 21. | Who is responsible for the operation of the facility? | |
| 22. | Who maintains the facility? | |
| 23. | Is the facility insured? | Yes / No |
| 24. | Do you have any contingency / emergency funds available? (Obtain a copy of the applicant's budget for review.) | Yes / No |
| 25. | Have you explored any other funding sources? | Yes / No |
| a. | If yes, who have you contacted? | |
| 26. | Is there any other federal agency / authority responsible for the response and recovery from the situation at hand? | Yes / No |
| a. | If yes, Who? | |

Part 6**Environmental Concerns**

- | | | |
|-----|--|-------------------|
| 27. | Does the damaged facility or item of work have insurance and/or is it an insurable risk? (i.e. buildings, equipment, vehicles, etc.) | Yes / No / Unsure |
| a. | If yes or unsure, please provide comments. | |

28.	Is the damaged facility located within a floodplain or does it have an impact on a floodplain?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

29.	Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more/similar buildings?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

30.	Are there any pristine or undisturbed areas on, or near, the damage site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

31.	Are there any hazardous materials at or adjacent to the damaged site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

32.	Are there any other environmentally or controversial issues associated with the damaged area?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

33.	Are there other Environmental Issues concerning:	
	Domestic Animals If yes, please explain	Yes / No
	Wildlife If yes, please explain	Yes / No
	Agricultural If yes, please explain	Yes / No

Natural Landscape If yes, please explain	Yes / No
Improved Property If yes, please explain	Yes / No
State Land If yes, please explain	Yes / No
Federal Land If yes, please explain	Yes / No
Private Land If yes, please explain	Yes / No

[Part 7](#)

Needs / Requests

34. Specific Needs or Requests – please provide a description and include the estimated cost.

Immediate (0-10 days)
Short Term (10-90 days)
Long Term (90+ days)

35. Other Pertinent Information

Other Pertinent Information

ARIZONA DIVISION OF EMERGENCY MANAGEMENT PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE			DATE	
PART I — APPLICANT INFORMATION				
COUNTY		NAME OF APPLICANT		PHONE NO.
		NAME OF LOCAL CONTACT		
PART II — SITE INFORMATION				
KEY FOR DAMAGE CATEGORY (<i>Use appropriate letters in the "category" blocks below</i>)				
a. DEBRIS REMOVAL		d. WATER CONTROL FACILITIES		g. OTHER (<i>Parks, Recreational Facilities, etc.</i>)
b. PROTECTIVE MEASURES		e. PUBLIC BUILDINGS		
c. ROADS AND BRIDGES		f. PUBLIC UTILITIES		
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION (<i>Use map location, address, etc.</i>)		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
NAME OF INSPECTOR		AGENCY		HOME PHONE NO.



Division of Emergency Management Recovery Office

Disaster Recovery Guidebook

4. COUNTY EMERGENCY RESOLUTION

If the county is overwhelmed by the magnitude of the incident and recovery is beyond their resources, the county may request assistance from the state. A county emergency resolution must include the cause, location and date(s) of the incident, describe the damage caused by the incident and show why the incident is above and beyond their capability to sufficiently respond and/or recover.

The County Emergency Resolution is supported by a current damage assessment, a completed information questionnaire (for each affected locality) as well as an overall damage summary. These items will be submitted to the Director of the Arizona Division of Emergency Management along with an application for state assistance.

* If the county does not wish to issue an emergency resolution and request assistance of the state, a political subdivision may apply directly to the Director of the Arizona Division of Emergency Management for assistance.

Form Links:

[ADEM Incident Information Questionnaire](#)

[Preliminary Damage Assessment Site Summary](#)

[Preliminary Damage Assessment Site Estimate](#)

[Example of County Resolution](#)

ADEM

Incident Information Questionnaire

Assessment of: _____

Assessment Performed by: _____

Date Assessment Performed: _____

ADEM Representatives: _____

The Incident Assessment is designed to give the State of Arizona a clear picture of an event. Please complete all pertinent questions with as much detail as possible, and attach any supporting documentation.

Part 1

General

1.	Define the problem / emergency at hand.		
2.	Do you have a local emergency response and recovery plan? Yes / No		
a.	Has this plan been invoked? Yes / No		
b.	Please list actions taken to date.		
c.	What is your notification procedure? (Please attach)		
d.	Have you followed this documented notification procedure? Yes / No		
3.	<table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">This incident is....</td> <td style="border: none;"> New Repetitive Seasonal </td> </tr> </table>	This incident is....	New Repetitive Seasonal
This incident is....	New Repetitive Seasonal		
4.	Is this event related to potable water issues? If yes, please complete the ADEM Initial Potable Water Assessment and attach. Yes / No		
5.	Are there any photographs available of this event / incident? If yes, please attach copies. Yes / No		
6.	Are there any detailed maps of the affected area? If yes, please attach copies. Yes / No		

[Part 2](#)**Background**

7. Describe any pertinent background / historical information pertaining to this event.

[Part 3](#)**Impacts**

8. What is the population of the affected area?
- a. What is the number of citizens injured?
- b. What is the number of fatalities?
9. Are the affected homes primary or secondary residences? Primary / Secondary
10. List the number of businesses in the affected area.
- a. What is the number of businesses damaged?
- b. What is the number of businesses destroyed?

[Part 4](#)**Response**

11. Have you executed an emergency resolution for this event? Yes / No
- a. If not, Why?
- b. If yes, what date was the resolution executed?
- c. If yes, please attach a copy of the emergency resolution.
- d. Has the County executed an emergency resolution for this event? Yes / No
- e. Have you contacted the County regarding this emergency situation? Yes / No
- f. If not, Why?

12.	Have you activated your Emergency Operations Center?	Yes / No
-----	--	----------

13.	Are you logging this incident on E-Team?	Yes / No
-----	--	----------

14.	What has been the local action / response to the situation to date?	Used (Please indicate and describe.)	Exhausted ?
	Financial		Yes / No
	Labor		Yes / No
	Equipment		Yes / No
	Material		Yes / No
	Contract		Yes / No

15.	Are there other local resources available?	Yes / No
-----	--	----------

a.	If yes, please describe.
----	--------------------------

16.	Have you requested any Mutual Aid?	Yes / No
-----	------------------------------------	----------

a.	Whom have you contacted?
b.	What was your request?
c.	What is the availability of the requested resource?

17.	Other agencies contacted or responding:	Contacted	Responding
	Immigration	Yes / No	Yes / No
	Sheriff	Yes / No	Yes / No
	Department of Public Safety	Yes / No	Yes / No
	Department of Environmental Quality	Yes / No	Yes / No
	Department of Water Resources	Yes / No	Yes / No
	Fire Department	Yes / No	Yes / No
	State Land Department	Yes / No	Yes / No
	Health Department	Yes / No	Yes / No
	Red Cross	Yes / No	Yes / No
	Salvation Army	Yes / No	Yes / No
	Other Volunteer Organizations Contacted or Responding		

Part 5**Ownership / Responsibility**

- | | | |
|-----|---|----------|
| 18. | Who is the party responsible for the facility / area impacted by this event? | |
| 19. | Who owns the facility? | |
| 20. | Is the owner of the facility considered to be a political subdivision? | Yes / No |
| a. | If no, please define. | |
| 21. | Who is responsible for the operation of the facility? | |
| 22. | Who maintains the facility? | |
| 23. | Is the facility insured? | Yes / No |
| 24. | Do you have any contingency / emergency funds available? (Obtain a copy of the applicant's budget for review.) | Yes / No |
| 25. | Have you explored any other funding sources? | Yes / No |
| a. | If yes, who have you contacted? | |
| 26. | Is there any other federal agency / authority responsible for the response and recovery from the situation at hand? | Yes / No |
| a. | If yes, Who? | |

Part 6**Environmental Concerns**

- | | | |
|-----|--|-------------------|
| 27. | Does the damaged facility or item of work have insurance and/or is it an insurable risk? (i.e. buildings, equipment, vehicles, etc.) | Yes / No / Unsure |
| a. | If yes or unsure, please provide comments. | |

28.	Is the damaged facility located within a floodplain or does it have an impact on a floodplain?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

29.	Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more/similar buildings?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

30.	Are there any pristine or undisturbed areas on, or near, the damage site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

31.	Are there any hazardous materials at or adjacent to the damaged site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

32.	Are there any other environmentally or controversial issues associated with the damaged area?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

33.	Are there other Environmental Issues concerning:	
	Domestic Animals If yes, please explain	Yes / No
	Wildlife If yes, please explain	Yes / No
	Agricultural If yes, please explain	Yes / No

Natural Landscape If yes, please explain	Yes / No
Improved Property If yes, please explain	Yes / No
State Land If yes, please explain	Yes / No
Federal Land If yes, please explain	Yes / No
Private Land If yes, please explain	Yes / No

[Part 7](#)

Needs / Requests

34. Specific Needs or Requests – please provide a description and include the estimated cost.

Immediate (0-10 days)
Short Term (10-90 days)
Long Term (90+ days)

35. Other Pertinent Information

Other Pertinent Information

ARIZONA DIVISION OF EMERGENCY MANAGEMENT PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE			DATE	
PART I — APPLICANT INFORMATION				
COUNTY		NAME OF APPLICANT		PHONE NO.
		NAME OF LOCAL CONTACT		
PART II — SITE INFORMATION				
KEY FOR DAMAGE CATEGORY <i>(Use appropriate letters in the "category" blocks below)</i>				
a. DEBRIS REMOVAL		d. WATER CONTROL FACILITIES		g. OTHER <i>(Parks, Recreational Facilities, etc.)</i>
b. PROTECTIVE MEASURES		e. PUBLIC BUILDINGS		
c. ROADS AND BRIDGES		f. PUBLIC UTILITIES		
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
NAME OF INSPECTOR		AGENCY		HOME PHONE NO.
		OFFICE PHONE NO.		

RESOLUTION 2002 - 23

A RESOLUTION BY THE BOARD OF SUPERVISORS
COCONINO COUNTY, ARIZONA
DECLARING A STATE OF EMERGENCY FOR
FIRE IN FOREST LAKES, ARIZONA

WHEREAS, the Rodco-Chediski fire has caused extreme damage and threatened lives, homes and structures;

WHEREAS, Coconino County has evacuated the Forest Lakes area;

WHEREAS, Coconino County has been working diligently to protect loss of lives and property;

WHEREAS, Coconino County does not have the physical or financial resources to fully enable or assist the affected areas;

WHEREAS, the Coconino County Board of Supervisors has the authority, pursuant to ARS §26-311, to declare that a local emergency does exist within Coconino County.

THEREFORE BE IT RESOLVED that, effective immediately, Coconino County is declaring a State of Emergency and requesting assistance from the State of Arizona to meet the needs of the community and to respond to this emergency.

Passed and adopted this 28th day of June, 2002.

COCONINO COUNTY BOARD OF SUPERVISORS



Elizabeth C. Archuleta, Chairman

ATTEST:



Gessa C. Stanford (Deputy)

Clerk of the Board

RESOLUTION NO. 2004-11

DECLARATION OF STATE OF EMERGENCY

WHEREAS, it is the desire of the Apache County Board of Supervisors to protect the health, safety, and welfare of the citizens of Apache County; and

WHEREAS, the Apache County Emergency Management Director was notified by the Arizona Department of Water Resources of a possible structural compromise in the River Reservoir Dam near Greer, Arizona, and

WHEREAS, the structural compromise could threaten the communities of South Fork, Springerville, and Hagar, Arizona, and

WHEREAS, a structural compromise could create an eminent risk to people, property, and animals in Apache County, and

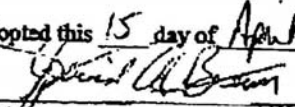
WHEREAS, it is the desire of the Apache County Board of Supervisors to request that Governor Napolitano declare a State of Emergency and to provide assistance from all state emergency service agencies including but not limited to; The United States Forest Service, Arizona State Land Department, the Bureau of Land Management;

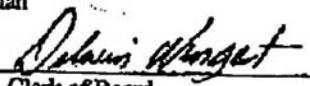
BE IT THEREFORE RESOLVED, that the Board of Supervisors of Apache County request that Governor Napolitano declare a State of Emergency in Apache County;

BE IT THEREFORE RESOLVED, that the Board of Supervisors of Apache County declares a State of Emergency pursuant to A.R.S. § 26-301, et. seq., to exist on private, State, and Federal lands;

BE IT THEREFORE RESOLVED that Apache County asks the State to provide public information and provide for survival and recovery from any potential structural compromise of the dam.

Adopted this 15 day of April, 2004.


Chairman


Attest: Clerk of Board



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

5. APPLICATION FOR STATE ASSISTANCE

When the county has completed the information questionnaire, damage assessment and county emergency resolution an application for state assistance must be prepared and sent (with supporting documentation) to the Director of the Arizona Division of Emergency Management (ADEM).

* If an incident only involves a state agency, a state agency shall submit an application directly to the Director of ADEM.

Links:

ADEM Application for State Assistance Form

R8-2-303

R8-2-304

R8-2-305

ARIZONA DIVISION OF EMERGENCY MANAGEMENT

APPLICATION FOR STATE ASSISTANCE

SUBMIT TO: DISASTER RECOVERY OFFICE
 ARIZONA DIVISION OF EMERGENCY MANAGEMENT
 5636 EAST MCDOWELL ROAD, DFO BLDG. 5507
 PHOENIX, ARIZONA 85008

1.	A disaster situation exists in _____ due to _____ causing damage to _____ _____ occurring at (date/time) _____.		
2.	Action has already been taken to meet the emergency at an estimated cost of \$ _____. These expenditures have accomplished the following: <div style="display: flex; justify-content: space-between;"> <div> _____ Debris Removal _____ Evacuation _____ Traffic Control </div> <div> _____ Temporary Repairs _____ Other _____ _____ </div> </div>		
3.	The additional funds required to accomplish minimum essential work are estimated to be \$ _____. The additional funds will permit the following project to be completed: <div style="display: flex; justify-content: space-between;"> <div> _____ Repair Roads, Streets, and Bridges _____ Building Repairs or Replacement _____ Equipment Repair or Replacement </div> <div> _____ Utility Repairs _____ Other _____ _____ </div> </div>		
4.	Temporary expenditures or alternate solutions could be accomplished with \$ _____ of local funds by deferring or canceling: <div style="display: flex; justify-content: space-between;"> <div> _____ Project (list) _____ _____ Capital Expenditures _____ </div> <div> _____ Not a Viable Option _____ Other (List) _____ </div> </div>		
5.	Please attach a resolution of emergency along with a statement of availability of funds for response and recovery emergency work, as it relates to the overall financial condition (budget) of jurisdiction. The Statement to be executed and signed by an appropriate official. You will also need to include a copy of your annual budget.		
6.	Comments _____ _____ _____		
7.	Signed: _____ Title: _____ Date: _____		
8.	ADEM	APPROVED _____ DENIED _____	_____ ADEM AUTHORIZED SIGNATURE _____ DATE



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

Arizona Secretary of State

<http://www.sos.state.az.us>

Arizona Administrative Code

R8-2-303. Contents of an Application

A. An applicant shall set forth in an application the cause, location, and beginning date of the emergency, a description of the damage caused by the emergency and potential health hazards arising from the emergency, the costs incurred for emergency response, and an estimate of the number of people affected by the emergency and costs for recovery.

B. Before submitting an application to the Director, the applicant shall use its available resources to respond to the emergency and request assistance from other political subdivisions that might respond to the emergency.

Historical Note

Adopted effective September 18, 1996 (Supp. 96-3).

R8-2-304. Application by a Political Subdivision

A. A county shall issue an emergency resolution before submitting an application to the Director.

B. A political subdivision other than a county shall submit an emergency resolution to the county and request that, if necessary, the county issue an emergency resolution and make application to the Director. If the county fails to issue an emergency resolution expeditiously, a political subdivision may apply directly to the Director for assistance.

C. A political subdivision shall submit an application to the Director using the most expeditious means.

D. The Director shall reject an application that is not received within 15 days from the start of the emergency unless the political subdivision shows good cause for the delay or that the emergency is of a type that the date the emergency started is difficult to establish.

Historical Note

Adopted effective September 18, 1996 (Supp. 96-3).

R8-2-305. Application by a State Agency

A. An applicant that is a state agency shall submit an application directly to the Director using the most expeditious means.

B. The Director shall reject an application that is not received within 15 days from the start of the emergency unless the state agency shows good cause for the delay or that the emergency is of a type that the date the emergency started is difficult to establish.

Historical Note

Adopted effective September 18, 1996 (Supp. 96-3).



Division of Emergency Management
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6. STATE PRELIMINARY DAMAGE ASSESSMENT

Definition: The preliminary damage assessment (PDA) process is a mechanism used to determine the impact and magnitude of damage and the resulting unmet needs of individuals, businesses, the public sector and the community as a whole.

Information collected is used by the State as a basis for the Governor's request and by the Federal Emergency Management Agency (FEMA) to document the recommendation made to the President in response to the Governor's request.

- Introduction
- Overview
- Checklist for Preliminary Damage Assessment
- Submission Instruction

INTRODUCTION

Incident assessment is the first step of the recovery process and begins with the completion of the Incident Information Questionnaire and the Preliminary Damage Assessment (PDA) forms.

- It is the foundation for the Recovery Process for the Public Assistance Program.
- It allows for accurate placement of emergency services for life threatening situations and imminent hazards.
- It starts at the local level.
- It can be the trigger for county, state and/or federal assistance as required.

The assessment of damage does not end with the completion of these forms. It is a continuing process as additional damage is discovered and reported accordingly so that an accurate assessment of total damage resulting from an incident is available to all concerned agencies.

In addition to the PDA, the Arizona Division of Emergency Management needs supplemental information in order to accurately brief the Governor and other parties of interest. The Incident Information Questionnaire has been designed to be the first step in fulfilling this need.

The following addresses the process to be followed in completing the Preliminary Damage Assessment and Incident Information Questionnaire forms.

OVERVIEW

Primary responsibility for response and recovery to an emergency rests with the local government agencies. Only when local resources are inadequate to cope effectively with the event, state and federal assistance may be provided. To determine whether local resources can adequately meet the needs during and/or after a disaster, local officials must gather incident assessment information. For this purpose, each county has been requested to designate and train assessment teams.

Within 24 hours of the disaster it will be the responsibility of local (affected jurisdiction) emergency managers to compile a damage assessment and complete the Incident Information Questionnaire. Copies of the forms are to be submitted to the next highest jurisdiction.

These forms should be completed quickly and are intended to be an overview estimation of areas within the local jurisdiction(s) that have immediate needs and will be surveyed to determine the extent of damage.

Information used to compile the data will be primarily from emergency responder reports and logs of Police/Fire/Ambulance and 911 calls. Additional sources may be American Red Cross (ARC) reports, utility service providers, Department of Transportation advisories, weather service, media reports and citizen calls, etc.

The PDA and Incident Information Questionnaire forms are used to identify locally damaged areas that will need to be prioritized and assessed in more detail through a house-by-house, street-by-street damage assessment. This information then will be used to determine if disaster assistance is warranted.

Local jurisdictions should maintain an up-to-date list of critical facilities, which will include AIRPORTS, SCHOOLS, HOSPITALS, SEWAGE AND WATER TREATMENT FACILITIES, NURSING HOMES, BRIDGES AND DAMS. These facilities may be contacted to identify the degree of damage sustained by them, if any. Local jurisdictions may maintain lists of additional special facility types if they wish, such as recreational facilities and senior centers.

CHECKLIST FOR PRELIMINARY DAMAGE ASSESSMENT

Local representatives should identify disaster related sites and damage. They should provide cost estimates and disaster impact data including impacts on the public entity's physical, economic and financial assets. They also assist in identifying private non-profit entities potentially impacted by the disaster.

- Provide overview and specific disaster damage data
- Provide summary of disaster impacts
- Identify all disaster-related damage sites and facilities
- Provide map(s) depicting damage sites
- Provide budgetary data and other pertinent information
- Provide guides or specific instructions for PDA Team members to reach the damage sites.
- Help to identify local potential Private Non-Profit Organizations (PNP's)

SUBMISSION INSTRUCTIONS

Please fax or e-mail the completed forms and any pertinent supporting documents to:

Beth Zimmerman, Assistant Director
Arizona Division of Emergency Management

e-mail: beth.zimmerman@azdema.gov
fax: 602-392-7501

Form Links:

ADEM Incident Information Questionnaire

Preliminary Damage Assessment Site Summary

Preliminary Damage Assessment Site Estimate

ADEM

Incident Information Questionnaire

Assessment of: _____

Assessment Performed by: _____

Date Assessment Performed: _____

ADEM Representatives: _____

The Incident Assessment is designed to give the State of Arizona a clear picture of an event. Please complete all pertinent questions with as much detail as possible, and attach any supporting documentation.

Part 1

General

1.	Define the problem / emergency at hand.
2.	Do you have a local emergency response and recovery plan? Yes / No
a.	Has this plan been invoked? Yes / No
b.	Please list actions taken to date.
c.	What is your notification procedure? (Please attach)
d.	Have you followed this documented notification procedure? Yes / No
3.	<div style="display: flex; justify-content: space-between;"> This incident is.... <div style="text-align: center;"> New Repetitive Seasonal </div> </div>
4.	Is this event related to potable water issues? If yes, please complete the ADEM Initial Potable Water Assessment and attach. Yes / No
5.	Are there any photographs available of this event / incident? If yes, please attach copies. Yes / No
6.	Are there any detailed maps of the affected area? If yes, please attach copies. Yes / No

[Part 2](#)**Background**

7. Describe any pertinent background / historical information pertaining to this event.

[Part 3](#)**Impacts**

8. What is the population of the affected area?
- a. What is the number of citizens injured?
- b. What is the number of fatalities?
9. Are the affected homes primary or secondary residences? Primary / Secondary
10. List the number of businesses in the affected area.
- a. What is the number of businesses damaged?
- b. What is the number of businesses destroyed?

[Part 4](#)**Response**

11. Have you executed an emergency resolution for this event? Yes / No
- a. If not, Why?
- b. If yes, what date was the resolution executed?
- c. If yes, please attach a copy of the emergency resolution.
- d. Has the County executed an emergency resolution for this event? Yes / No
- e. Have you contacted the County regarding this emergency situation? Yes / No
- f. If not, Why?

12.	Have you activated your Emergency Operations Center?	Yes / No
-----	--	----------

13.	Are you logging this incident on E-Team?	Yes / No
-----	--	----------

14.	What has been the local action / response to the situation to date?	Used (Please indicate and describe.)	Exhausted ?
	Financial		Yes / No
	Labor		Yes / No
	Equipment		Yes / No
	Material		Yes / No
	Contract		Yes / No

15.	Are there other local resources available?	Yes / No
-----	--	----------

a.	If yes, please describe.
----	--------------------------

16.	Have you requested any Mutual Aid?	Yes / No
-----	------------------------------------	----------

a.	Whom have you contacted?
b.	What was your request?
c.	What is the availability of the requested resource?

17.	Other agencies contacted or responding:	Contacted	Responding
	Immigration	Yes / No	Yes / No
	Sheriff	Yes / No	Yes / No
	Department of Public Safety	Yes / No	Yes / No
	Department of Environmental Quality	Yes / No	Yes / No
	Department of Water Resources	Yes / No	Yes / No
	Fire Department	Yes / No	Yes / No
	State Land Department	Yes / No	Yes / No
	Health Department	Yes / No	Yes / No
	Red Cross	Yes / No	Yes / No
	Salvation Army	Yes / No	Yes / No
	Other Volunteer Organizations Contacted or Responding		

Part 5**Ownership / Responsibility**

- | | | |
|-----|---|----------|
| 18. | Who is the party responsible for the facility / area impacted by this event? | |
| 19. | Who owns the facility? | |
| 20. | Is the owner of the facility considered to be a political subdivision? | Yes / No |
| a. | If no, please define. | |
| 21. | Who is responsible for the operation of the facility? | |
| 22. | Who maintains the facility? | |
| 23. | Is the facility insured? | Yes / No |
| 24. | Do you have any contingency / emergency funds available? (Obtain a copy of the applicant's budget for review.) | Yes / No |
| 25. | Have you explored any other funding sources? | Yes / No |
| a. | If yes, who have you contacted? | |
| 26. | Is there any other federal agency / authority responsible for the response and recovery from the situation at hand? | Yes / No |
| a. | If yes, Who? | |

Part 6**Environmental Concerns**

- | | | |
|-----|--|-------------------|
| 27. | Does the damaged facility or item of work have insurance and/or is it an insurable risk? (i.e. buildings, equipment, vehicles, etc.) | Yes / No / Unsure |
| a. | If yes or unsure, please provide comments. | |

28.	Is the damaged facility located within a floodplain or does it have an impact on a floodplain?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

29.	Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more/similar buildings?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

30.	Are there any pristine or undisturbed areas on, or near, the damage site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

31.	Are there any hazardous materials at or adjacent to the damaged site?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

32.	Are there any other environmentally or controversial issues associated with the damaged area?	Yes / No / Unsure
a.	If yes or unsure, please provide comments.	

33.	Are there other Environmental Issues concerning:	
	Domestic Animals If yes, please explain	Yes / No
	Wildlife If yes, please explain	Yes / No
	Agricultural If yes, please explain	Yes / No

Natural Landscape If yes, please explain	Yes / No
Improved Property If yes, please explain	Yes / No
State Land If yes, please explain	Yes / No
Federal Land If yes, please explain	Yes / No
Private Land If yes, please explain	Yes / No

[Part 7](#)

Needs / Requests

34. Specific Needs or Requests – please provide a description and include the estimated cost.

Immediate (0-10 days)
Short Term (10-90 days)
Long Term (90+ days)

35. Other Pertinent Information

Other Pertinent Information

ARIZONA DIVISION OF EMERGENCY MANAGEMENT PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE			DATE	
PART I — APPLICANT INFORMATION				
COUNTY		NAME OF APPLICANT		PHONE NO.
		NAME OF LOCAL CONTACT		
PART II — SITE INFORMATION				
KEY FOR DAMAGE CATEGORY <i>(Use appropriate letters in the "category" blocks below)</i>				
a. DEBRIS REMOVAL		d. WATER CONTROL FACILITIES		g. OTHER <i>(Parks, Recreational Facilities, etc.)</i>
b. PROTECTIVE MEASURES		e. PUBLIC BUILDINGS		
c. ROADS AND BRIDGES		f. PUBLIC UTILITIES		
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATEGORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
NAME OF INSPECTOR		AGENCY		HOME PHONE NO.
		OFFICE PHONE NO.		



Division of Emergency Management Recovery Office

Disaster Recovery Guidebook

7. STATE EMERGENCY PROCLAMATION

Once the information (PDA, County and/or Local Resolution & Information Questionnaire) has been received and reviewed by the Arizona Division of Emergency Management, the Director shall make a recommendation to the Governor whether to issue a proclamation declaring a state of emergency.

"Proclamation" means the document in which the Governor declares that a state of emergency exists pursuant to A.R.S. §35-192(A) and authorizes expenditure from the fund.



If the Governor declares an emergency, ADEM shall assign a file number to the emergency and all correspondence regarding the emergency shall reference the file number.

Link:

Example of a State Emergency Proclamation

*** DECLARATION OF EMERGENCY – ROOSEVELT ESTATES – GILA COUNTY***

WHEREAS, a major storm with heavy rains and flash flooding began September 8, 2003 and continued through September 9, 2003, impacting the vicinity of Roosevelt Estates and its surrounding area within Gila County; and

WHEREAS, the rain storms caused damage to private structures and county maintained roads, and threatened the health and safety of many citizens; and

WHEREAS, recovery from the storm event is above and beyond the capabilities of Gila County; and

WHEREAS, the Governor is authorized to declare an emergency pursuant to A.R.S. § 26-303(D); and

WHEREAS, the Legislature has authorized the expenditure of funds in the event of an emergency pursuant to A.R.S. § 35-192;

NOW, THEREFORE, I, Janet Napolitano, Governor of the State of Arizona, by virtue of the authority vested in me by the Constitution and Laws of the State, do hereby determine that the excessive rains and flooding in Gila County justifies a declaration of a State of Emergency, pursuant to A.R.S. § 26-303(D), and I do hereby:

- a. Declare that a State of Emergency exists in Gila County due to heavy rains and flooding effective September 8-9, 2003; and
- b. Direct that the sum of \$100,000 from the general fund be made available to the Director of the State Division of Emergency Management to be expended in accordance with A.R.S. § 35-192, A.A.C. R8-2-301 to 321, and Executive Order 79-4; and
- c. Direct that the State Emergency Operations Plan be used to direct and control state and other assets and authorize the Director of the Division of Emergency Management to coordinate state assets.



IN WITNESS WHEREOF, I have hereunto set my hand and caused to be affixed the Great Seal of the State of Arizona

Janet Napolitano
GOVERNOR

DONE at the Capitol in Phoenix on this fifth day of December in the Year Two Thousand Three and of the independence of the United States of America the Two Hundred and Twenty-sixth.

ATTEST:

Janice K. Brewer
Secretary of State



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

8. STATE RESOURCES OVERWHELMED

When a catastrophic incident occurs in which state and local emergency resources are totally committed, the Governor will determine if additional resources are needed.

The basis for this shall be:

1. The situation is of such severity and magnitude that effective response is beyond the capabilities of the state and affected local governments; and
2. Federal assistance is necessary to supplement the efforts and available resources of the state and local governments, disaster relief organizations and compensation by insurance for disaster-related losses.

If the Governor determines that state and local resources are overwhelmed, the Director of the Arizona Division of Emergency Management will contact the Regional Director of the Federal Emergency Management Agency (FEMA) to perform a joint FEMA/State Preliminary Damage Assessment.



Division of Emergency Management
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9. FEMA/State Preliminary Damage Assessment

The Preliminary Damage Assessment (PDA) is a joint venture between FEMA, the State, tribal and local governments to document the impact and magnitude of the disaster on individuals, families, businesses and public property. The Governor will use the information gathered during the PDA process to determine whether Federal assistance should be requested.

The PDA is conducted once the State determines that the recovery effort is beyond State and local capabilities. State officials will ask the appropriate FEMA Regional Office to conduct a joint PDA with State, tribal and local officials in those areas defined by the State. After the PDA teams have documented the damage, the Governor will determine whether or not to request Federal disaster assistance. The Governor may limit the request for assistance or may seek the full range of assistance authorized under the type of declaration being requested. The Governor's request is addressed to the President and submitted through the appropriate FEMA Regional Director.

Form Links:

FEMA Preliminary Damage Assessment Summary (Form #90-80)

FEMA Preliminary Damage Assessment (Form #90-81)

FEDERAL EMERGENCY MANAGEMENT AGENCY PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE					DATE		
PART I — APPLICANT INFORMATION							
COUNTY		NAME OF APPLICANT			NAME OF LOCAL CONTACT		PHONE NO.
POPULATION		TOTAL BUDGET Approved \$ _____ Balance \$ _____			MAINTENANCE BUDGET Approved \$ _____ Balance \$ _____		DATE FY BEGINS
PART II — COST ESTIMATE - SUMMARY (COMPLETE SITE ESTIMATE BEFORE SUMMARIZING BELOW)							
CATE- GORY	NO. OF SITES	TYPES OF DAMAGE	COST ESTIMATE	POTENTIAL LOCAL FUNDS FOR RECOVERY			
				FUND/ACCOUNT	AVAILABLE BALANCE		
			TOTAL			TOTAL	
PART III — DISASTER IMPACTS (USE SEPARATE SHEETS IF NECESSARY)							
A. GENERAL IMPACT: 1. Identify and describe damages which constitute a health and/or safety hazard to the general public. 2. Population adversely affected directly or indirectly by the loss of public facilities or damages. 3. What economic activities are adversely affected by the loss of public facilities or damages?							
B. RESPONSE CAPABILITY: Can the applicant respond and recover from the damages quickly and without degradation of public services? Describe.							
C. IMPACT ON PUBLIC SERVICES IF DECLARATION IS NOT MADE: e.g., Deferral of permanent repairs, impact on ongoing services and capital improvements, etc. Describe.							
NAME OF INSPECTOR			AGENCY		PHONE NO.		

FEDERAL EMERGENCY MANAGEMENT AGENCY PRELIMINARY DAMAGE ASSESSMENT SITE ESTIMATE			DATE	
PART I — APPLICANT INFORMATION				
COUNTY	NAME OF APPLICANT		NAME OF LOCAL CONTACT	PHONE NO.
PART II — SITE INFORMATION				
KEY FOR DAMAGE CATEGORY <i>(Use appropriate letters in the "category" blocks below)</i>				
a. DEBRIS REMOVAL		d. WATER CONTROL FACILITIES		g. OTHER <i>(Parks, Recreational Facilities, etc.)</i>
b. PROTECTIVE MEASURES		e. PUBLIC BUILDINGS		
c. ROADS AND BRIDGES		f. PUBLIC UTILITIES		
SITE NO.	CATE-GORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATE-GORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATE-GORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
SITE NO.	CATE-GORY	LOCATION <i>(Use map location, address, etc.)</i>		
DESCRIPTION OF DAMAGE				
IMPACT:			% COMPLETE	COST ESTIMATE
NAME OF INSPECTOR		AGENCY	OFFICE PHONE NO.	HOME PHONE NO.



Division of Emergency Management
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Disaster Recovery Guidebook

10. REQUEST FOR FEDERAL ASSISTANCE

The request for a declaration must come from the Governor or Acting Governor. Upon completion of the Joint FEMA/State Preliminary Damage Assessment, if the Governor believes that Federal assistance is necessary, the Governor sends the request letter to the President, directed through the Regional Director of the appropriate FEMA region. The request is reviewed by the Regional Director and forwarded with a recommendation to the Director of FEMA who, in turn, makes a recommendation to the President. The President makes the decision whether to declare a major disaster or emergency.

Link:

Example of Governor's Request to the President (Aspen Fire)



STATE OF ARIZONA

JANET NAPOLITANO
GOVERNOR

OFFICE OF THE GOVERNOR
1700 WEST WASHINGTON STREET, PHOENIX, AZ 85007

MAIN PHONE: 602-542-4331
FACSIMILE: 602-542-7601

June 24, 2003

The President
The White House
1600 Pennsylvania Avenue
Washington, D. C. 20500

Through: Mr. Jeff Griffin
Regional Director, FEMA Region IX
1111 Broadway Suite 1200
Oakland, CA 94607-4052

Re: Declaration of Major Disaster Arising From the Aspen Fire

Dear Mr. President:

Under the provisions of Section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5206 (Stafford Act), as implemented by 44 CFR § 206.36, I request that you declare a major disaster for the State of Arizona as a result of the Aspen Fire, which began in Pima County, Arizona on Tuesday, June 17, 2003, and spread to Pinal County, Arizona on June 23, 2003. The fire continues both to grow at an alarming rate and to threaten real and improved property.

In response to the situation, I have taken appropriate action under State law and directed the execution of the State Emergency Plan on June 19, 2003, in accordance with Section 401 of the Stafford Act. On Thursday June 19, 2003, I declared a State of Emergency for Pima County as a result of the Aspen Fire. As the fire spread northward, I declared a State of Emergency for Pinal County on Tuesday June 24, 2003. State funds have been made available in support of the declared Counties for damages sustained to publicly owned infrastructure as a result of the Aspen Fire.

Impacts of the Aspen Fire

On June 19, 2003, I requested a joint federal, state, and local survey of the damaged areas. Preliminary assessments indicate the most severe impacts were to the homes, businesses and utilities within the community of Summerhaven.

Currently, the fire has consumed over 20,000 acres. Within the Summerhaven community, 322 of the 458 homes have been destroyed as well as nine of the 12 businesses. Approximately 500 citizens have been evacuated from the area, and continue

Honorable George W. Bush
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to be displaced. The fire is only 15% contained and is growing at an extreme rate. Weather conditions remain hot and dry, which makes fighting the fire extremely difficult. The fire continues to pose a threat to several populated areas.

Located near the summit of Mount Lemmon, Summerhaven is an unincorporated subdivision of Pima County. The residents of the community provide their own electrical, water, and fire protection services, as well as the majority of their wastewater services. This community is totally dependent on Pima County for law enforcement, road maintenance and most of their solid waste removal. This area has skiing, picnicking, camping and other recreational facilities that are essential to the economy of Summerhaven and Pima County; thus, the Aspen fire will have long-term adverse economic consequences.

The Aspen fire will also have long-term environmental consequences. These include the vulnerability of watersheds and downstream communities to increased runoff and flooding due not only to the Aspen fire, but last year's Bullock fire, which consumed 30,500 acres immediately adjacent to where the Aspen fire is burning. Intensely hot fires, such as the Aspen and Bullock fires, reduce the infiltration capacity of the watershed soils and produce significant runoff discharges that are a serious threat to human life and public infrastructures in the downstream communities.

I have determined that this incident is of such severity and magnitude that effective response is beyond the capabilities of the State and the affected local governments and that supplemental Federal assistance is necessary. For Pima County, I am specifically requesting Individual Assistance Programs. This includes the Individuals and Households, Disaster Housing, Other Needs Assistance, Personal Property, Business and Economic Injury Disaster Loan, Disaster Unemployment Assistance, Disaster Legal Services, and Crisis Counseling Programs. Furthermore, I request Public Assistance Program and Small Business Administration disaster loans for both Pima and Pinal Counties, and Hazard Mitigation statewide.

Preliminary estimates of the types and amount of assistance needed under the Stafford Act are tabulated in Enclosures A and B. Estimated requirements for assistance from certain Federal agencies under other statutory authorities are tabulated in Enclosure C.

Other Fire Dangers

In addition to the Aspen Fire, the State of Arizona remains at an extraordinary risk of other catastrophic fires. As I indicated in my June 12, 2003 letter to you regarding the bark beetle infestation, Arizona has endured a severe drought since 1997. The recorded precipitation from June 2001 to May 2002 was the lowest since the state started keeping records in 1895. A tremendous amount of brush and small-diameter trees have been killed as a direct result of the drought and these dead materials greatly increase the fire potential of the forests, woodlands and chaparral country throughout most of the state. Furthermore, years of suppressing natural fires and a lack of controlled burns has added to the accumulation of fuels (saplings, undergrowth and pine needles). These factors

Honorable George W. Bush
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have left the state susceptible to catastrophic fire events, such as last summer's Rodeo/Chediski Fire that burned nearly 500,000 acres.

To make matters worse, the pine bark beetle has now infested over 800,000 acres of forest in Arizona alone, leaving millions of dead ponderosa pines and piñon-juniper trees. The widespread tree mortality has added even more dense pockets of extremely flammable vegetation, referred to as "jackpot fuels." The acreage of bug-killed trees is expected to increase several-fold by next year, drastically intensifying the problem.

Unfortunately, our severe wildland fire risk is likely to continue for some time. The hot and dry weather, along with high winds, are expected to continue for at least the next 10 days and the U.S. Weather Service predicts that the usual annual relief of monsoon rainfall will be delayed until late July.

The Need for Federal Assistance

Over 600,000 acres were burned in 2002, nearly 500,000 of which were accounted for by the Rodeo-Chediski Fire. So far this year approximately 50,000 acres have burned, mostly within the past two weeks. Without prompt federal help, Arizona will lose even more of its valuable forest land. On May 22, 2003, I declared a state of emergency due to the critical condition of forest health in Arizona. On June 12, 2003, I sent a letter to you through Jeff Griffin, Regional Director in Oakland, requesting federal assistance due to the severe fire threat caused by drought and impact to trees and vegetation from the bark beetle infestation.

Unfortunately, the State of Arizona has exhausted its resources on fire emergencies. During this fiscal year alone, the State has been under four states of emergency. The Governor's Emergency Fund provides a total appropriation of \$4 million each fiscal year to support emergency relief. That fund has been completely depleted responding to the prior emergencies and helping to mitigate the damages from future fires by thinning trees on state lands. Similarly, Pima County, which maintains only a small contingency fund, has exhausted that fund for FY'03, and the local communities have little or no budgetary resources to assist in combating a fire of this magnitude. Indeed, the Mount Lemmon Fire District and the Mount Lemmon Water Improvement District have lost their entire tax base due to the Aspen Fire.

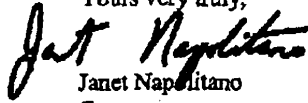
I certify that for this major disaster, the State and local governments will assume all applicable non-Federal share of costs required by the Stafford Act. Total expenditures are expected to exceed \$4,540,514.00 in accordance with the table in Enclosure D.

In addition, I anticipate the need for debris removal, which poses an immediate threat to lives, public health, and safety. Pursuant to Sections 403 and 407 of the Stafford Act, 42 U.S.C. §§ 5170b & 5173, the State agrees to indemnify and hold harmless the United States of America for any claims arising from the removal of debris or wreckage for this disaster. The State agrees that debris removal from public and private property will not occur until the landowner signs an unconditional authorization for the removal of debris.

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I have designated Mr. Frank F. Navarrete as the Governor's Authorized Representative and State Coordinating Officer for this request. He will work with the Federal Emergency Management Agency in damage assessments and may provide further information or justification on my behalf.

Yours very truly,


Janet Napolitano
Governor

Enclosures

ENCLOSURE A TO MAJOR DISASTER REQUEST

Estimated Requirements for Individual Assistance
under the Stafford Act

County (List each requested county)	Assistance to Individuals and Households					Other Programs
	Housing Assistance (Indicate No.)	Repairs	Replacement	Permanent Housing Construction	Other Assistance	(Unemployment Assistance, Services, and Counseling) Disaster Legal Crisis
PIMA-Summerhaven	458	412	NA	NA	458	458
TOTALS	458	412	NA	NA	458	458

ENCLOSURE B TO MAJOR DISASTER REQUEST
Estimated Requirements for Public Assistance
Stafford Act

CATEGORY								
County	A	B	C	D	E	F	G	Total
PIMA	\$1,078,370	\$240,000	\$55,000	\$0	\$50,000	\$2,716,304	\$0	\$4,139,764
Totals:	\$1,078,370	\$240,000	\$55,000	\$0	\$50,000	\$2,716,305	\$0	\$4,139,764

Note: Estimates are to reflect total eligible costs before any cost sharing.

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ENCLOSURE C TO MAJOR DISASTER REQUEST

Estimated Requirements for Other Federal Agency Programs

County	SBA Home Loans	SBA Business Loans	FSA Loans	NRCS	FHWA	USACE	OTHER
PIMA	202	3	0	0	0	0	0
Totals	202	3	0	0	0	0	0

Note: Provide numbers and amounts, as appropriate.

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ENCLOSURE D TO MAJOR DISASTER REQUEST

Governor's Certification

I certify that for this current disaster, State and local government expenditures and obligations will include the non-Federal share of costs required by the Stafford Act. As stated in my basic letter, and based on information available at this time, tabulation of these estimated expenditures and obligations are as follows:

CATEGORY OF ASSISTANCE	AMOUNT	
	STATE	LOCAL
Individual Assistance:		
"Other Assistance" under the Individuals and Households Program	\$400,750	
Other (specify)		
Total:		
Public Assistance:		
Category A - Debris Removal	\$1,078,370	
Category B - Emergency Protective Measures	\$ 240,000	
Category C - Roads and Bridges	\$ 55,000	
Category D - Water Control Facilities	\$ 0	
Category E - Buildings and Equipment	\$ 50,000	
Category F - Utilities	\$2,716,304	
Category G - Other (Parks, Recreational Facilities, etc.)	\$ 0	
Total:		
Grand Total:	\$4,540,514	



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

11. FEDERAL DECLARATION

The Governor may request that the President declare a "major disaster" or an "emergency". This request must satisfy the provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended by Public Law 100-707 ("the Stafford Act").

A major disaster is defined as "any natural catastrophe (including any hurricane, tornado, storm, high water, wind driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood or explosion in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, local governments and disaster relief organizations in alleviating the damage, loss, hardship or suffering caused thereby".

An emergency is defined as "any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety or to lessen or avert the threat of a catastrophe in any part of the United States".

The FEMA Director, or his/her designee will promptly notify the Governor, that the President has declared a declaration of emergency or major disaster. FEMA also will notify other Federal agencies and interested parties.

Link:

Example of Major Disaster Declaration (Aspen Fire)

THE WHITE HOUSE
WASHINGTON

July 14, 2003

The Honorable Janet Napolitano
Governor of Arizona
State Capitol
1700 West Washington Street
Phoenix, Arizona 85007

Dear Governor Napolitano:

I have declared a major disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5206 (the Stafford Act), for the State of Arizona due to damage resulting from the Aspen Fire on June 17, 2003, and continuing. I have authorized Federal relief and recovery assistance in the affected area.

Public Assistance and Hazard Mitigation will be provided. Consistent with the requirement that Federal assistance be supplemental, any Federal funds provided under the Stafford Act for Public Assistance and Hazard Mitigation will be limited to 75 percent of the total eligible costs in the designated areas.

The Federal Emergency Management Agency (FEMA), which is now incorporated into the Department of Homeland Security, Emergency Preparedness and Response Directorate, will coordinate Federal assistance efforts and designate specific areas eligible for such assistance. The Federal Coordinating Officer will be Mr. Michael J. Hall of FEMA. He will consult with you and assist in the execution of the FEMA-State Agreement for disaster assistance governing the expenditure of Federal funds.

Sincerely,


George W. Bush

DECLARED: JULY 14, 2003

SUMMARY

In the event of a declaration, the following information applies:

STATE: Arizona

NUMBER: FEMA-1477-DR

INCIDENT: Aspen Fire

INCIDENT PERIOD: June 17, 2003, and continuing

DATE REQUESTED BY GOVERNOR: June 24, 2003

FEDERAL COORDINATING OFFICER: Michael J. Hall
National FCO Program

DESIGNATIONS AND TYPES OF ASSISTANCE:

INDIVIDUAL ASSISTANCE (Assistance to individuals and households):

None.

PUBLIC ASSISTANCE (Assistance to State and local governments for the repair or replacement of disaster-damaged public facilities):

Pima County.

HAZARD MITIGATION GRANT PROGRAM (Assistance to State and local governments for actions taken to prevent or reduce long term risk to life and property from natural hazards):

All counties in the State of Arizona are eligible to apply for assistance under the Hazard Mitigation Grant Program.

OTHER: Additional designations may be made at a later date after further evaluation.



Department of Homeland Security
Emergency Preparedness & Response Directorate
Office of Legislative Affairs
202-646-4500 Fax 202-646-3600

Arizona Federal Disaster Declaration Fact Sheet

July 14, 2003

On July 14, 2003, President Bush declared a major disaster for the State of Arizona, triggering the release of federal funds to help communities recover from the Aspen fire that occurred June 17, 2003, and continuing. Details of the major disaster declaration and assistance programs are as follows:

Declaration Number: FEMA-1477-DR

Incident: Aspen Fire

Incident Period: June 17, 2003, and continuing

Federal Coordinating Officer: Michael J. Hall
National FCO Program

Type of Assistance: Public Assistance: (Assistance to State and local governments for the repair or replacement of disaster-damaged public facilities):

Designated Counties: Pima County

Type of Assistance: Hazard Mitigation Grant Program: (Assistance to State and local governments for actions taken to prevent or reduce long term risk to life and property from natural hazards):

Designated Counties: All counties in the State of Arizona are eligible to apply for assistance under the Hazard Mitigation Grant Program.

OTHER: Additional designations may be made at a later date after further evaluation.

If you have any questions or need additional information on this Federal disaster declaration please call Jason Nelson at (202) 646-4500, FAX number (202) 646-3600.



Division of Emergency Management
Recovery Office

Disaster Recovery Guidebook

12. APPLICANT NOTIFICATION

The ADEM Director shall notify the applicant(s) immediately of the Governor or President's decision to issue or not to issue a proclamation and or declaration. If the Governor or President issues a proclamation and/or declaration, ADEM shall forward a copy to the applicant.



Division of Emergency Management Recovery Office

Disaster Recovery Guidebook

13. APPLICANT BRIEFING

An applicants' briefing is a meeting conducted by a representative of the State for all potential applicants for public assistance grants. The briefing occurs after an emergency or major disaster has been declared and addresses application procedures, administrative requirements, funding and program eligibility criteria.

The State representative is responsible for publicizing the date, time and location of the briefing. The size of the disaster area and the number of potential applicants determine whether more than one briefing is held.

State recovery personnel trained in the public assistance program will participate in the briefing to clarify issues regarding:

- Recovery Process
- Eligibility
- Documentation Requirements
- Special Considerations
- Mitigation



To obtain the maximum benefit from the information presented at the briefing, we recommend each applicant send the following representatives: an elected official, the applicant agent, someone from the accounting or finance department and a key person from those departments that were significantly impacted by the incident.

TYPICAL APPLICANT BRIEFING

1. Applicants sign in
2. Applicants pick up packet at sign in desk containing:
 - a. Agenda
 - b. Fact Sheet

- c. Copy of Governor's Proclamation
- d. Request for Public Assistance Form (to be completed before they leave)
- e. Designation of Applicant Agent Form (no money will be reimbursed until this is completed and returned to ADEM)
- f. Arizona Administrative Code Title 8

Note: Upon completion of the Designation of Applicant Agent, the applicant will be sent an agreement to be signed and returned.

3. Meeting Outline:

- a. Opening Remarks
- b. Introductions
- c. Review Fact Sheet and Forms
- d. Public Assistance Program Overview
 - i. Slide Presentation (approximately 45 minutes)
 - ii. Audit Process
- e. Distribute reference books
- f. Questions & Answers
- g. Schedule Kickoff Meetings with applicants

Links:

Request for Public Assistance Form

Designation of Applicant Agent Form

Applicant Briefing Power Point Presentation

ARIZONA DIVISION OF EMERGENCY MANAGEMENT
REQUEST FOR PUBLIC ASSISTANCE
PCA _____

Applicant Name _____

County _____ Date Submitted _____

Applicant Physical Location

Street Address _____

City _____ State ARIZONA Zip Code _____

Mailing Address
(if different from Physical Location)

Street Address _____

Post Office Box _____ City _____ State AZ Zip Code _____

Primary Contact/Applicant's Authorized Agent

Name _____

Title _____

Business Phone _____

Fax Number _____

E-Mail Address _____

Alternate Contact

Name _____

Title _____

Business Phone _____

Fax Number _____

E-Mail Address _____

Received By: _____
(Initials & Date)

JULY 2000

Form # AZ PA 204-3

**ARIZONA DIVISION OF EMERGENCY MANAGEMENT
DESIGNATION OF APPLICANT'S AGENT FORM**

The intent of this **DESIGNATION** is to appoint an **APPLICANT'S AGENT** for the following term:

- ☐ For PCA No. _____ only ☐ For the period of ____ to ____ ☐ Until further notice
☐ Until further notice for HAZMAT incident

Applicant Name: _____

CERTIFICATION

I, _____, duly appointed and _____ of
(Authorizing Official's Name) (Title)

_____, do hereby certify that the information below is true
(Applicant Name)

and correct, based on a resolution passed and approved by the _____
(Governing Body)

of _____ on the _____ day of _____,
(Applicant Name) (day) (month) (year)

_____ has been designated as the Applicant Agent
(Name of Designated Applicant Agent)

to act on behalf of _____
(Applicant Name)

(Authorizing Official's Signature) (Title) (Date)

Designated Applicant's Agent

Name _____

Title/Official Position _____

Mailing Address _____

City, State, Zip _____

Daytime Telephone Number _____ Fax _____
(Please include area code and extension if not a direct number)

E-mail Address _____ Pager/Cell _____

For ADEM Use Only

Received By: _____
(Initials & Date)

July 2000

Form # AZ PA 204-4

Welcome to the State of Arizona's

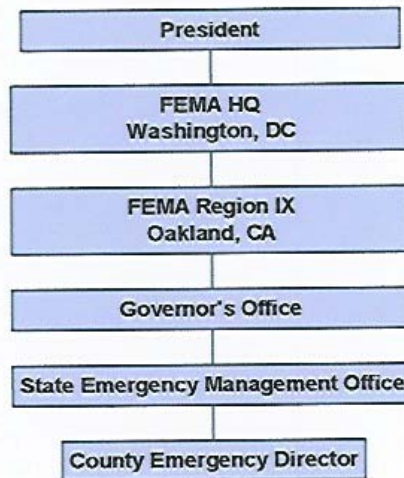
Applicant Briefing

Public Assistance Program

- Disaster Recovery Assistance provided to rebuild public infrastructure



Public Assistance Declaration Process




3

Governing Laws for Public Assistance

A.A.C. Title 8:	Arizona Administrative Code for Governor's Emergency Fund Process and Appeals
A.R.S. 35 192	Authorization for declaration of disaster; authorization for liabilities and expenses; priorities and limitations; review and report of expenditures
A.R.S. 26 303	Emergency powers of governor; termination; authorization for adjutant general


4



Governing Laws for Public Assistance

Stafford Act: Describes the declaration process, the types and extent of assistance that may be provided, and fundamental eligibility requirements.

44CFR: Code of Federal Regulations, Emergency Management and Assistance contains rules, policies and procedures Issued by FEMA applicable to the implementation of recovery programs and appeals.



Governing Laws, Regulations and Policies

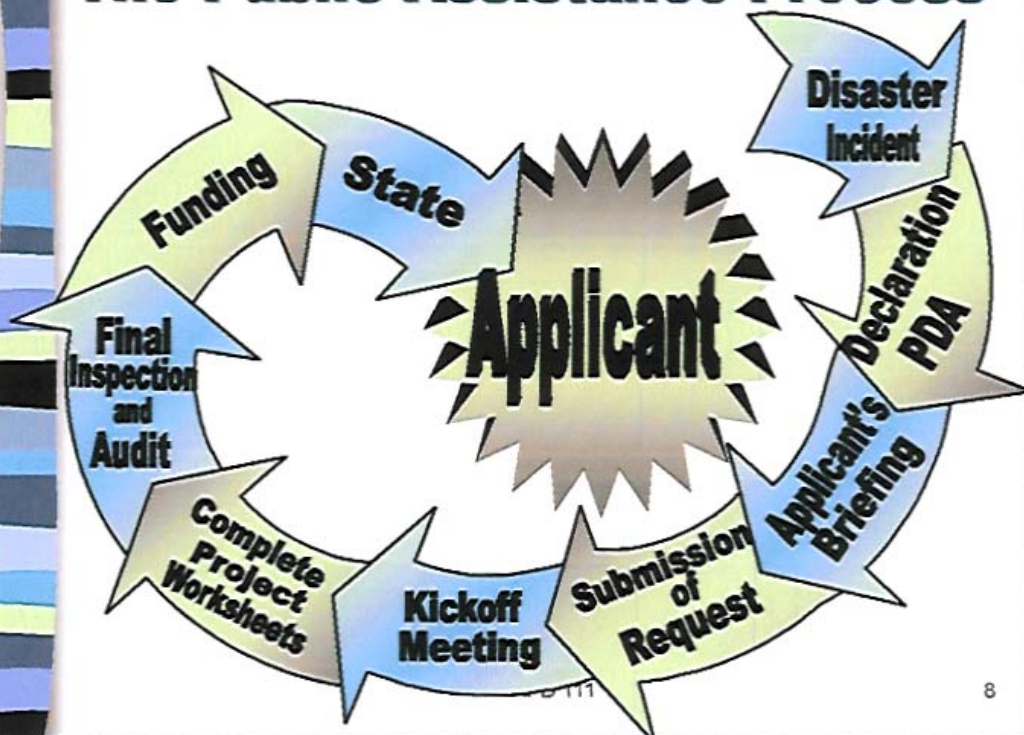
- Disaster Relief & Emergency Assistance Act
- Disaster Mitigation Act 2000
- Endangered Species Act
- Clean Air Act
- Clean Water Act
- National Historic Preservation Act
- State, Tribal and Local

Resources

- **www.azdema.gov**
 - Disaster Recovery Guidebook
 - FEMA Equipment Rates
- PA Policy Digest – FEMA 321
- PA Guide – FEMA 322
- **www.fema.gov**
 - 9500 Series Policies
 - Standard Operating Procedures
 - Applicant Appeals

7

The Public Assistance Process



8



PA Process Relationship

- Local Applicant Agent
- ADEM P.A. Coordinator (AZPAC)

PAPD 99-100

9



Cost Share State Disaster

- Political Subdivisions
 - 75% State Share
 - 25% Applicant Share
- State Agencies
 - 100% State Share

10

Cost Share

Presidential Disaster

■ Political Subdivisions

- 75% Federal Share
- 15% State Share
- 10% Applicant Share

■ State Agencies

- 75% Federal Share
- 25% State Share

■ Private Non-Profit

- 75% Federal Share
- 25% Applicant Share

11

Program Eligibility

is determined by the following:

Applicant

- State/Local government agencies or departments
- Tribal organizations / PNPs (Federal)

Facility

- Any publicly owned building, works, system, or equipment, built or manufactured
- Any improved **and** maintained natural feature

Work

- Direct result of the declared disaster.
- Located within the designated disaster area.
- Must be the legal responsibility of the applicant.

Cost

- Reasonable and necessary to accomplish the work.
- Compliant with Federal, State and local procurement procedures.
- Reduced by all applicable credits. (insurance / salvage values)

12



Applicant

- State/Local government agencies or departments
- Tribal organizations / PNPs (Federal)

13



Facility

- Any publicly owned building, works, system, or equipment, built or manufactured
- Any improved ***and*** maintained natural feature

14



Work

- Direct result of the declared disaster.
- Located within the designated disaster area.
- Must be the legal responsibility of the applicant.

15



Work

Codes & Standards

- Apply to the damage
- To pre-disaster use
- Be formally adopted
- Be implemented and enforced

16



Cost

- Reasonable and necessary to accomplish the work.
- Compliant with Federal, State and local procurement procedures.
- Reduced by all applicable credits. (insurance / salvage values)

17



Cost

- Labor
- Equipment
- Rented Equipment
- Materials
- Contracts

18



Force Account Labor

- Personnel Names & Job Titles
- Dates & Hours Worked – Reg & OT
- Hourly Rate
- Employer Related Benefit Costs
- Information obtained from payroll records, invoices or other documents that are available for audit.

19



Force Account Equipment

- Type of Equipment
 - Size, Capacity, Make and Model
 - Equipment Code Number (Internal Reference)
- Operator's Name
- Dates and Hours Used
- Equipment Rates
 - FEMA vs Applicant's Rate
- Information obtained from payroll records, invoices or other documents that are available for audit.

20



Rented Equipment

- **Type of Equipment**
 - Size, Capacity, Make and Model
- **Dates and Hours Used**
- **Costs**
 - Rate per Hour
 - With or Without Operator
 - Total Cost
- **Vendor**
- **Invoice Number**
 - Date & Amount Paid
 - Check Number
- **Information obtained from invoices or other documents that are available for audit.**

21



Materials

- Vendor
- Description
- Quantity
- Unit & Total Price
- Date Purchased & Used
- Information obtained from records, invoices or other documents that are available for audit.

22

Contract

- Description of work performed
- Dates worked
- Contractor Name
- Billing / Invoice Number
- Amount Paid & Check Number
- Information obtained from records, invoices or other documents that are available for audit.

23

Manage Money



- PDA – Preliminary Damage Assessment
- Written Projects – Actual or Estimated Cost
- Audit – Final Cost Accounting
- Disaster Closeout & Termination

24

Documentation

- Who?
- What?
- Where?
- When?
- With What?

25

Documentation



26



Why Documentation Is Important

Accurate documentation will help you to:

- Recover all of your eligible costs
- Have the information necessary to develop your disaster projects
- Have information to validate the accuracy of your projects
- Be ready for audits or financial reviews



Project Worksheets (PW)

- Location
- Damage Description
- Scope of Work
- Project Cost / Contract
- Special Considerations

Special Considerations

- Insurance
- Hazard mitigation
- Environmental
- Floodplain
- Historical
- Other federal or state laws or regulations that require compliance

Categories of Work Emergency Work

- Category A: Debris Removal
- Category B: Emergency Protective Measures



Categories of Work Permanent Work

- Category C: Roads and Bridges
- Category D: Water Control Facilities
- Category E: Buildings and Equipment
- Category F: Utilities
- Category G: Parks, Recreational Facilities, and other items

Hazard Mitigation Section 406

- Tied directly to a facility damaged during the disaster.
- Reduce or eliminate threat of future damages.
- **MUST** be approved prior to starting **ANY** work.
- Must be cost beneficial.





Time Limits

- Project information **MUST** be submitted to ADEM by October 8, 2006.
- Emergency Work must be completed by February 8, 2007.
- Permanent Work must be completed by February 8, 2008.



Time Limits (Federal Disaster)

- Project information **MUST** be submitted within 60 days of the Kickoff Meeting.
- Emergency Work must be completed within 6 months of the declaration.
- Permanent Work must be completed within 18 months of the declaration.

Kickoff Meeting

- One on One meeting between ADEM and Applicant
- Scheduled ASAP following Applicant Briefing
- Discuss all potential projects & determine eligibility



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Who Should Attend ?

- Applicant Agent
- Emergency Manager
- Finance Department Rep/Mgr
- Environmental Representative
- Manager of Departments impacted by the event, e.g., Public Works, Utilities, Waste Water Management, Flood Control, Parks, etc.

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Kickoff Meeting

- Establish communications
- Discuss sequence of events through closeout
- Start formulating & writing project worksheets
- Review supporting documentation



The Applicant

- **Submits all forms**
- **Identifies projects**
- **Identifies special considerations issues**
- **Maintains documentation**
- **Maintains contact with PAC**
- **Provides points of contact**
- **Is actively involved in process**
- **Retains ALL records for 5 years after audit**

Project Management

- Identification
- Scope of Work
- Communication

It can be quite the juggling act....

2005

8 events declared

550+ Projects

\$36 million dollars

39

Audit

■ A.A.C. Title 8:

- R8 2 316 states: "Upon completion of all work by an applicant, the Division shall inspect all work that the applicant claims. The applicant shall provide the Division with access to all claimed work and shall permit review of all records relating to the work. After completion of the final inspection, the Department's chief auditor shall conduct an audit of the applicant's claims. The Director shall use this audit to determine the allowability of claimed costs and final payment due to the applicant or overpayment due to the Division.

40

Other Federal Programs



Natural Resources Conservation Service

Emergency Watershed Protection Program
(EWP)



Questions?

Contact:

- Wendy McCalla
- Public Assistance Program Manager
- (602) 231-6357
- or
- Darlene Quihuis
- Finance Specialist
- (602) 392-7546



Federal-aid EMERGENCY RELIEF (ER) PROGRAM

Federal Highway Administration
Arizona Division

Writing an Effective



Project Worksheet

Project Worksheets (PW)

- Location
- Damage Description
- Scope of Work
- Project Cost / Contract
- Special Considerations
- 406 Mitigation

45

Location

- Address
- Crossroads or Intersection
- Mile Marker
- Latitude/Longitude
- Map



46



Damage Description & Dimensions

- Cause and description of damage with dimensions.
- All damaged elements must be clearly defined in quantitative terms with physical dimensions (such as length, width, depth and capacity).

47



Example:

- Floodwaters from Fern Creek overtopped Fernwood Drive in the Village of Bolingbrook destroying 150 linear feet (LF) of the 26-ft. wide roadway including 8 in. asphalt pavement and 8 in. aggregate base. The fill embankment – 26 ft. wide (top) x 4 ft. high x 42 ft. wide (bottom) – was washed out for a length of 100 LF beneath the roadway. 300 LF of steel guard rail (150 LF on each side) was severely damaged along the entire stretch of the washed out road.

48



Scope of Work

- **SHOULD NOT** be described only as “restore to pre-disaster condition”.
- The work should be specified as an action with quantifiable (length, width, depth, capacity) and descriptive (brick, wood, asphalt) terms.
- Must correspond directly to the damage description.

49



Example:

- Replace fill embankment with unclassified fill for 100 LF x 4 ft. (high) x 26 ft. (top width) x 42 ft. (bottom width). Replace 150 LF x 26 ft. x 8 in. base course and 150 LF x 26 ft. x 8 in. asphalt pavement. Remove and replace 300 LF of steel guard rail. Place 100 LF of 1 ft. thick x 2 ft. deep riprap along the stream side of the constructed embankment slope in accordance with Village of Bolingbrook Code provision #101A.

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Project Cost Estimate



- Time & Materials
 - Labor
 - Equipment
 - Materials
- Unit Cost
 - Estimating sources
 - FEMA Cost Codes
- Contracts

51

Cost Estimate

- If you are using lump sum costs (labor, equipment, material) you need to include a breakdown (separate spreadsheet) of how you arrived at the lump sum figures reflected on the project worksheet.

52

Special Considerations

- Insurance
- Hazard mitigation
- Environmental
- Floodplain
- Historical
- Other federal or state laws or regulations that require compliance
- Complete 9 Questions Form for all PWs

Insurance



Historical

Hazard
Mitigation

53

406 Mitigation

- Work that is above and beyond the work required to return the damaged facility to its pre-disaster design.
- Must apply to the damaged element of the facility.
- Reduce any portion of the project cost estimate that does not need to be completed if mitigation is approved.

54

The Applicant

- Submits all forms
- Identifies projects
- Identifies special considerations issues
- Maintains documentation
- Maintains contact with PAC
- Provides points of contact
- Is actively involved in process
- Retains ALL records for 5 years after audit

57

Questions



58



Division of Emergency Management Recovery Office

Disaster Recovery Guidebook

14. KICKOFF MEETING

After the Applicants' Briefing and within one week of receipt of an applicant's Request for Public Assistance, a State Public Assistance Coordinator (PAC) will contact the applicant to schedule a Kickoff Meeting. The Kickoff Meeting is designed to provide a much more detailed review of the program. The meeting is the first step in establishing a partnership among the PAC and the applicant and is designed to focus on the specific needs of that applicant. This approach allows the PAC to concentrate on the eligibility and documentation requirements that are most pertinent to an applicant.

The PAC also discusses Special Considerations, such as floodplain management, insurance, hazard mitigation opportunities and compliance with environmental and historic preservation laws that could potentially affect the type and amount of assistance available and the documentation needed.

Main points covered during the Kickoff Meeting are:

- Project eligibility
- Writing project worksheets
- Maintaining supporting documentation for Audit
- Communicating project status
- Project inspection and request for funding

Who should attend? This meeting is directed toward those individuals who will be held responsible for:

- Identifying and repairing damaged areas
- Providing and maintaining documentation
- Tracking and validating costs
- Overseeing project status

Details on completing the forms and providing supporting documentation will be discussed, applicant contracts will be reviewed and any questions answered.



Division of Emergency Management
Recovery Office

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15. COMPLETE PROJECT WORKSHEETS

The Project Worksheet (PW) is a tool used by the applicant and the State (and/or FEMA) to develop projects. A project is a logical method of performing work required as a result of the declared event. The Applicant, working with the Public Assistance Coordinator (PAC), is responsible for assessing disaster-related needs and developing projects to address those needs. The applicant must determine the best means for addressing the needs and organize projects accordingly. Examples of projects include:

- A single site, such as a road washout or a damaged building;
- Multiple sites, such as repairs at various locations along a sewer line;
- A complex containing multiple facilities, such as a school campus or a park; and
- Work that has been, or will be done, by a single contractor or a single work crew, such as debris removal or citywide repairs to windows in public facilities

When developing projects, the PAC and applicant must work together to develop a complete scope of work for each project. In addition, the applicant should consider all direct costs associated with that project. These costs include labor, equipment, materials and contract costs.

The PW is used to record the following information:

- Pre-disaster description of the facility and its condition;
- The scope of eligible work for the project including the cause of damage, dimensions of damage and the work necessary to repair the damage;
- Estimated or actual costs necessary to complete the work; and
- Special considerations associated with the project such as insurance and hazard mitigation must be completed for every Project Worksheet.

After a Project Worksheet is written by the PAC the Project Worksheet, Special Considerations Form and any other critical documents are forwarded to the Public Assistance Officer for review and approval. After the Project Worksheet is approved the applicant will receive a copy.

Links:

[Project Worksheet Instructions](#)

[Project Worksheet Form](#)

[Special Considerations Form](#)

Arizona Division of Emergency Management (ADEM)

Project Worksheet Instructions

A Project Worksheet must be completed for each identified damaged project. After completing a Project Worksheet, submit the worksheets to your Public Assistance Coordinator.

Identifying Information

PW No.: Indicates the project worksheet number assigned by ADEM.
PCA No.: Indicates the project cost account number assigned by ADEM.
Date: Indicate the date the worksheet was prepared. (MM/DD/YY)
Primary Category: Indicate the primary category of the project according to specified work categories.
Other Category: Indicate any other categories of the project according to specified work categories.
Damage Facility: Identify the facility and describe its basic function.
Work Complete as of: Indicate the date that the work was examined in the format of MM/DD/YY and the percentage of work completed to that date.
Applicant: Name of the political subdivision to which the funds will be awarded.
County: Name of the county where the damage is located.
Location: This item can range anywhere from a "physical address", "intersection of ...", "1 mile south of ... on ..." to "county wide". If damages are in different locations or different counties please list each location.
Latitude & Longitude: Include latitude and longitude of the project location if known.
Damage Description and Dimensions: Describe the disaster-related damage to the facility, including the cause of the damage and the area or components affected.
Scope of Work: List work that has been completed, and work to be completed, which is necessary to repair disaster-related damage. Include items recorded on the preliminary damage assessment.
Does the Scope of Work change the pre-disaster conditions of the site: If the work described under the Scope of Work changes the facilities conditions (i.e. increases/decreases the size or function of the facility or does not replace damaged components in kind with like materials), check (√) yes. If the Scope of Work returns the site to its pre-disaster configuration, capacity and dimensions check (√) no.
Is there insurance coverage on this facility: State Statute requires that ADEM be notified of any entitlement for proceeds to repair disaster-related damages, from insurance or any other source. Check (√) yes if any funding or proceeds can be received for the work within the Scope of Work from any source besides ADEM.
Hazard Mitigation: If the pre-disaster conditions at the site can be changed to prevent the disaster-related damage and you would like to submit a Hazard Mitigation Proposal, check (√) yes and attach proposal for consideration. If no opportunities for hazard mitigation exist check (√) no.

Project Cost

Item: Indicate the item number on the column (i.e. 1, 2, 3, etc.). Use additional forms as necessary to include all items.
Narrative: Indicate the work, material or service that best describes the work (i.e. "force account labor overtime", "42 in. Dia. RCP", sheet rock replacement", etc.).
Quantity / Unit: List the amount of units and the unit of measure (i.e. "48/cy", "32/lf", "6/ea", etc.).
Cost: This item can be developed from cost to date, contracts, bids, applicant's experience in that particular repair work or by using cost codes supplied by FEMA.
Total Cost: Record total cost of the project.
Prepared By: Record the name and title of the person completing the Project Worksheet.

Record Requirements

For all completed work, the applicant must keep the following records:

- Force account labor documentation sheets identifying the employee, hours worked, date and location
- Force account equipment documentation sheets identifying specific equipment, operator, usage by hour/mile and cost used;
- Material documentation sheets identifying the type of material, quantity used and cost;
- Copies of all contracts for work and any lease/rental equipment costs.

For all estimated work, keep calculations, quantity estimates, pricing information, etc. as part of the records to document the "cost/estimate" for which funding is being requested.

ARIZONA DIVISION OF EMERGENCY MANAGEMENT PROJECT WORKSHEET FORM			PW No.	
PCA NO:		DATE:	PRIMARY CATEGORY	OTHER CATEGORY(S)
DAMAGE FACILITY:			WORK COMPLETE AS OF: : %	
APPLICANT:			COUNTY:	
LOCATION:			LATITUDE	LONGITUDE
DAMAGE DESCRIPTION AND DIMENSIONS:				
SCOPE OF WORK				
COMPLETED SPECIAL CONSIDERATION FORM MUST BE ATTACHED				
Does the Scope of Work change the pre-disaster condition at site? <input type="checkbox"/> Yes <input type="checkbox"/> No				
Is there insurance coverage on the facility? <input type="checkbox"/> Yes <input type="checkbox"/> No Hazard Mitigation proposal included? <input type="checkbox"/> Yes <input type="checkbox"/> No				
PROJECT COST				
ITEM	NARRATIVE	QUANTITY/ UNIT	UNIT PRICE	COST
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
		/		
TOTAL COST			\$0.00	
PREPARED BY: (Please Print)				

State Representative _____ Date: _____

Local Representative _____ Date: _____

(I agree with the above estimated project costs)

JULY 2000

ADEM Reviewer

FORM # AZ PA 204-5

ARIZONA DIVISION OF EMERGENCY MANAGEMENT SPECIAL CONSIDERATIONS QUESTIONS

APPLICANT NAME		PCA NUMBER	PW #
PROJECT NAME		LOCATION	DATE
FORM MUST BE FILLED OUT FOR EACH PROJECT			
1. Does the damaged facility or item of work have insurance and/or is it an insurable risk? (e.g., buildings, equipment, vehicles, etc.) <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
2. Is the damaged facility located within a floodplain or coastal high hazard area, or does it have an impact on a floodplain or wetland? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
3. Will the proposed facility repairs/reconstruction change the pre-disaster condition? (e.g., footprint, material, location, capacity, use or function) <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
4. Does the applicant have a Hazard Mitigation proposal or would the applicant like technical assistance for a hazard mitigation proposal? Include completed Application for Hazard Mitigation Form. <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
5. Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more, similar buildings near the site? Include completed Historic Review Assessment Form. <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
6. Are there any pristine or undisturbed areas on, or near, the project site? Are there large tracts of forestland? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
7. Are there any hazardous materials at or adjacent to the damaged facility and/or item of work? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
8. Are there any other environmentally or controversial issues associated with the damaged facility and/or item of work? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure Comments _____ _____			
COMPLETED BY:			DATE
ADEM REVIEWED BY:			DATE



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16. PROJECT MONITORING



Projects will be monitored to ensure that the work is consistent with the approved project worksheet and that it meets all applicable eligibility criteria.

If after repair/recovery work begins an applicant determines the damage description and scope of work need to be changed, they **MUST** notify ADEM Recovery Staff immediately otherwise funding of the project

could be jeopardized.

Costs will be reviewed to ensure that they are error-free and eligible. Applicants must provide labor, equipment and materials summaries for use in the review. Items that will be checked include:

- Identification of persons whose wages are being included in the cost summary, by date, position and hours worked;
- Separate summaries for overtime and regular time hours with the employer related expenses (ERE or fringe benefits) identified for both;
- A summary of operator hours for any equipment being claimed (operator hours must match or exceed equipment hours; note that regular time hours for emergency work, even though ineligible, are needed to justify equipment usage);
- Identification of volunteer, prison or reassigned labor; and
- Copies of purchase orders, invoices, inventory records or stock tickets with material type and quantity included.

Contracts will be reviewed to ensure that they adhere to appropriate procurement regulations, are based on reasonable costs and pertain to the eligible scope of work. A copy of the contract must be on file with the Project Worksheet in applicants office.





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17. DOCUMENTATION REVIEW

The importance of maintaining a complete and accurate set of records for each project cannot be overemphasized. This will facilitate the validation, approval and funding processes for each project.

All of the documentation pertaining to a project should be filed together with the corresponding Project Worksheet and maintained as the permanent record of the project. These records become the basis for verifying final project costs.

Documentation is the process of establishing and maintaining accurate records of events and expenditures related to disaster recovery work. The information required for supporting documentation basically describes the "who, what, when, where, why and how much" for each item of disaster recovery work.

Source documents include invoices, payment vouchers, warrants, employee timesheets, purchase orders, item slips, weight slips, plans and specifications, design and/or construction contracts, insurance policies, environmental clearance letters and permits, etc. A Public Assistance Coordinator (PAC) can assist in determining what records are needed.

Links to sample forms are listed below. The use of these forms is not required, however each project must have detailed records available to include the following information:

Force Account Labor

- Personnel Names & Job Titles
- Dates & Hours Worked - Reg & OT
- Hourly Rate
- Employer Related Benefit Costs
- Information can be obtained from payroll records, invoices or other documents that are available for audit.

Force Account Equipment

- Type of Equipment
- Size, Capacity, Make and Model
- Equipment Code Number (Internal Reference)
- Operator's Name
- Dates and Hours Used
- Costs
- Total Hours, Equipment Rate and Total Cost
- Information can be obtained from payroll records, invoices or other documents that are available for audit.

Rented Equipment

- Type of Equipment
- Size, Capacity, Make and Model
- Dates and Hours Used
- Costs
- Rate per Hour
- With or Without Operator
- Total Cost
- Vendor
- Invoice Number
- Date & Amount Paid
- Check Number
- Information obtained from invoices or other documents that are available for audit.

Materials

- Vendor
- Description
- Quantity
- Unit & Total Price
- Date Purchased & Used
- Information obtained from records, invoices or other documents that are available for audit.

Contract

- Description of work performed
- Dates worked
- Contractor Name
- Billing / Invoice Number
- Amount Paid & Check Number
- Information obtained from records, invoices or other documents that are available for audit.

Form Links:

ADEM Force Account Labor Summary Record

ADEM Force Account Equipment Summary Record

ADEM Rented Equipment Summary Record

ADEM Materials Summary Record

ADEM Contract Work Summary Record

**ARIZONA DIVISION OF EMERGENCY MANAGEMENT
FORCE ACCOUNT LABOR SUMMARY RECORD**

PAGE _____ OF _____

APPLICANT NAME _____

PW # _____

PCA # _____

LOCATION/SITE _____

CATEGORY _____

PERIOD COVERING
TO _____

DESCRIPTION OF WORK PERFORMED _____

NAME & JOB TITLE	DATES AND HOURS WORKED EACH WEEK							COSTS				
	DATE							TOTAL HOURS	HOURLY RATE	BENEFIT RATE/HR \$ or %	TOTAL HOURLY RATE	TOTAL COSTS
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$
NAME	REG.								\$		\$	\$
JOB TITLE	O.T.								\$		\$	\$

Total Cost for Force Account Labor Regular Time _____
Total Cost for Force Account Labor Overtime _____

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED _____

TITLE _____

DATE _____

July 2000

FORM # AZ PA 204-7

ARIZONA DIVISION OF EMERGENCY MANAGEMENT RENTED EQUIPMENT SUMMARY RECORD			PAGE _____ OF _____
APPLICANT NAME	PW #		PCA #
LOCATION/SITE	CATEGORY	PERIOD COVERING TO	

[illegible]

§

DATE _____

ARIZONA DIVISION OF EMERGENCY MANAGEMENT CONTRACT WORK SUMMARY RECORD				PAGE _____ OF _____
APPLICANT NAME		PW #	PCA #	
LOCATION/SITE		CATEGORY	PERIOD COVERING TO _____	
DESCRIPTION OF WORK PERFORMED				
DATES WORKED	CONTRACTOR	BILLING/INVOICE NUMBER	AMOUNT	COMMENTS - SCOPE
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
TO _____			\$	
GRAND TOTAL			\$ 0.00	
I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.				
CERTIFIED BY		TITLE	DATE	



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18. FINAL INSPECTION



When the project is complete the State performs a final inspection of the project consisting of site inspections to confirm that the work completed was within the approved scope of work and documentation review(s) to confirm that work performed meets established eligibility criteria. The State will then process and submit a report on the completed project certifying what was found during their final inspection.

Links:

[Final Inspection Report Checklist](#)

[Final Inspection Narrative](#)

[Final Inspection Report Form](#)



ARIZONA DIVISION OF EMERGENCY MANAGEMENT FINAL INSPECTION REPORT CHECKLIST/NARRATIVE FORM

APPLICANT NAME: _____ PCA NUMBER: _____

PW NUMBER: _____ STATE INSPECTOR: _____

DIRECTIONS: Complete one checklist / narrative for **EACH COMPLETED** project worksheet.

At Project Site with Applicant Agent or Designee State Inspector will:

1. Determine if scope of work has been met, if it has been exceeded or if it has not been met.

Comments: _____

2. Determine if environmental issues and special considerations have been met. (permits obtained)

Comments: _____

Documentation Reviewed & Verified by State Inspector with Applicant Agent or Designee

3. Force Account Labor:

- a. Does the applicant have Published Labor Standards? ☐ YES ☐ NO ☐ N/A
b. Does the applicant have Time Cards on file? ☐ YES ☐ NO ☐ N/A
c. Does their documentation include Payroll (with benefits)? ☐ YES ☐ NO ☐ N/A

4. Force Account Equipment:

- a. How does the applicant track equipment use/time? _____
(equipment use log, daily site log or employee time card)
b. Equipment description and model number documented? ☐ YES ☐ NO ☐ N/A
c. What equipment rates were used (applicant or FEMA)? ☐ Applicant / FEMA ☐
d. Fuel Costs? (if applicable) ☐ YES ☐ NO ☐ N/A

5. Force Account Equipment: Are the following items documented and on file?

- | | |
|---|---|
| a. Stock Material | b. Purchased Material |
| Inventory Amount <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | Description <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| Cost Basis <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | Quantity <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| Replacement Invoice <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | Cost <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| | Invoice <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |

6. Rental Equipment

- a. Does the rental agreement include an operator? ☐ YES ☐ NO
b. Does the applicant have a Use Summary Log? ☐ YES ☐ NO
c. Has the rental invoice been paid? ☐ YES ☐ NO

7. Contracts (obtained & executed in accordance with State procurement procedures)

- | | |
|--|--|
| a. Request for bid <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | e. Change orders <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| b. Bid documents <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | f. Inspector's daily log <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| c. Engineer's estimate <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | g. Invoice <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A |
| d. Contract <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A | |

Additional Comments: _____

DATE: _____

**ARIZONA DIVISION OF EMERGENCY MANAGEMENT
FINAL INSPECTION REPORT NARRATIVE/COMMENTS FORM**

APPLICANT NAME: _____ () SM PROJECTS
() LG PROJECTS
PCA NUMBER: _____ CONTACT: _____ () FIR PARTIAL
() FIR FINAL

DIRECTIONS: Note Project Worksheet Number and Comments as needed for clarification.

DATE: _____ STATE INSPECTOR: _____

ARIZONA DIVISION OF EMERGENCY MANAGEMENT FINAL INSPECTION REPORT FORM

APPLICANT NAME: _____

PCA NUMBER: _____

() FIR PARTIAL
() FIR FINAL

CAT	PW NUMBER	DATE WORK COMPLETED	DATE INSPECTED	DATE DOC. REVIEWED	PW ESTIMATED COST	APPLICANT CLAIMED COST	FIR ELIGIBLE COSTS
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
					\$	\$	\$
TOTALS					\$ 0.00	\$ 0.00	\$ 0.00

☐ YES ☐ NO

NARRATIVE/COMMENTS ATTACHED:

FIR REVIEW

State Inspector (Signature and Title) (State Agency)	Date
Applicant's Representative (Signature and Title)	Date
ADEM Reviewer (Signature and Title)	Date



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19. AUDIT

The State of Arizona requires applicants to maintain records and documentation for five (5) years after the termination of emergency by the Governor.

Public Assistance Program grant recipients (States, local governments, non-profit organizations, universities, hospitals and Indian Tribes) are required to comply with the provisions set forth under the Single Audit Act Amendments of 1996. The Act requires grant recipients expending \$300,000 or more in Federal funds in a fiscal year to perform a single audit.

Even though a single audit must be performed, grant recipients also are subject to additional audits by the FEMA Office of Inspector General and State auditors for items not covered by the single audit. Specific documentation and procedures are based on the requirements of the Federal Office of Management and Budget (OMB). The OMB requires grant recipients to maintain financial and program records for three (3) years following submittal of the final expenditure report.

Applicants will be informed of audit requirements during the Applicants' Briefing. Any questions after the briefing regarding the single audit, or audits in general, should be directed to the appropriate State official.

Link:

[Audit Overview Documents](#)

[Audit Process Outline Documents](#)

Emergency Management Audits Primary Points of Contact

Brian McInnis, Chief Auditor	Phone: (602) 267-2805	All audits
Walter Owens, Auditor	Phone: (602) 267-2327	Applicant audits

Applicant Audit Overview (primarily state and local government costs)

The objective of these audits is to determine the eligibility of costs claimed by the applicants in accordance with A.R.S. § 35-192 and Administrative Rule R8-2-316. Audit reports summarizing the audit results are sent to the Director of the Division of Emergency Management. The audits serve as the basis for the Division of Emergency Management making a final financial settlement with applicants who receive federal and state disaster assistance.

Quarterly Audit Overview (primarily DEMA costs)

The objective of these audits includes reviewing liability and expenditure documents for eligibility in accordance with A.R.S. § 35-192. The audits are performed at ninety-day intervals and include all open emergencies. Quarterly audit reports are distributed to the Governor's Office and members of the Arizona Emergency Council.

Termination Audit Overview (final reconciliation all costs)

The objective of these audits includes reviewing liability and expenditure documents for eligibility in accordance with A.R.S. § 35-192. The audits are performed on closed emergencies and include reconciliation of audit citations from Applicant Audits and Quarterly Audits. Termination audit reports are distributed to the Governor's Office and members of the Arizona Emergency Council.

AUDIT PROCESS OUTLINE

FORCE LABOR:

- Data should be recorded on a "Force Account Labor Record" form, supported by employee time cards or other documents recording date and hours worked.
- Payroll information is verified from the following information:
 1. Hourly rate of pay (reg. & O/T)
 2. Applicable O/T policy.
 3. Hours worked.
 4. Payment.
 5. Title or position.
- This information is usually attained from a payroll distribution report which also shows employee deductions. The deductions will be compared to company paid benefits (group health, etc).
- All applicable and eligible company expenses are verified:
 1. FICA.
 2. State Unemployment.
 3. Federal Unemployment.
 4. Workers Compensation.
 5. Retirement.
 6. Medical and Dental.
 7. Life insurance.
- This is verified by reviewing actual invoices and payments showing the expense for each employee or category. In some cases the applicant may include a percentage based upon company paid vacations, holidays and sick days. Applicable company policies will be reviewed and calculations verified.

EQUIPMENT (APPLICANT OWNED)

- Data should be recorded on a "Force Account Equipment Record" form.
 1. Hourly rates are checked with the published approved FEMA rate schedule or the local guidelines established by the applicant and approved by FEMA.
 2. Equipment hours are correlated with force labor (operator) hours. (Equipment hours can not exceed operator hours)
- If the type of equipment used is not on FEMA's list we do a comparative analysis using local rental rates or manufacturers suggested rates or a combination.

EQUIPMENT (RENTED)

- Data should be recorded on a "Rented Equipment. Record" form.
- The following items will be reviewed:
 1. Rental agreements for exclusions and inclusion such as cost for operator, fuel, maintenance, etc. Applicable documents should be included to cover any additional costs such as fuel receipts, etc.
 2. Copy of invoice and proof of payment.
- If Force Labor was used see #2 under applicant owned. If from another Public Agency, #1 under applicant owned would apply.

AUDIT PROCESS – (CONTINUED)

MATERIALS (PURCHASED)

- Data should be recorded on a "Material Record" form.
 1. A copy of invoices with supporting documents including description, quantity, unit price and location of usage.
 2. Proof of payment.

MATERIAL (FROM STOCK)

- Data should be recorded on a "Material Record" form.
 1. A copy of invoices replacing stock or a copy of invoices that would support the original purchase.
 2. Proof of payment is needed for both.

CONTRACTS

- Data should be recorded on a "Contract Work Record" form.
- To verify completion of contract work, the following items are reviewed:
 1. The bidding process based on the State Procurement Procedure:

>	to \$1,000	No bid required
>	\$1,000 to \$10,000	3 oral or 3 written bids
>	\$10,000 to \$25,000	3 written bids
>	over \$25,000	Formal bid procedures which includes advertising, recording bids received and a contract.
 2. Copy of invoice cross-referenced to the contract.
 3. Proof of payment.

NOTES:

- Emergency bidding procedures may apply to emergency categories A and B.
- Cost-plus-percentage of cost (CPPC) contracts are ineligible.
- Contingency clauses based on reimbursement are ineligible.
- Salvage value (reusable material) should be identified.
- Insurance or Risk Management recoveries should be identified.



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20. FINAL PAYMENT

Upon completion of the audit, the Director of the Arizona Division of Emergency Management will use the audit to determine the allowability of claimed costs and final payment due to the applicant or overpayment due to the Division.



Division of Emergency Management
Recovery Office

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21. List of Forms

STATE & FEMA FORM NAME	STATE FORM NUMBER	FEMA FORM NUMBER
Applicant's Benefits Calculation Worksheet	AZ PA 204-12	90-128, NOV 98
Application for State Assistance	AZ PA 204-2	USE STATE FORM
Contract Work Summary Record	AZ PA 204-11	90-126, NOV 98
Designation of Applicant's Agent	AZ PA 204-4	USE STATE FORM
Final Inspection Report	AZ PA 204-13	USE STATE FORM
Final Inspection Report Check List/Narrative	AZ PA 204-14	USE STATE FORM
Final Inspection Report Narrative/Comments	AZ PA 204-20	USE STATE FORM
Force Account Equipment Summary Record	AZ PA 204-8	90-127, NOV 98
Force Account Labor Summary Record	AZ PA 204-7	90-123, NOV 98
Hazard Mitigation Proposal (HMP)	AZ PA 204-17A	90-61, FEB 81
Historic Review Assessment for Determination of Effect	AZ PA 204-16	90-122, NOV 98
Incident Information Questionnaire (6 pages)	AZ PA 204-1	USE STATE FORM
Materials Summary Record	AZ PA 204-10	90-124, NOV 98
PNP Facility Questionnaire	N/A	90-121, NOV 98
Preliminary Damage Assessment Site Estimate	AZ PA 204-18	90-81, JAN 84
Preliminary Damage Assessment Site Summary	AZ PA 204-19	90-80, JAN 84
Project Validation Form	N/A	90-119, NOV 98
Project Worksheet	AZ PA 204-5	90-91, SEPT 98
Project Worksheet Instructions	AZ PA 204-5a	USE STATE FORM
Project Worksheet Cost Estimate Continuation Sheet	N/A	90-91B, SEP 98
Project Worksheet Damage Description and Scope of Work Continuation Sheet	N/A	90-91A, SEP 98
Project Worksheet Maps and Sketches Sheets	N/A	90-91C, SEP 98
Project Worksheet Photo Sheet	N/A	90-91D, SEP 98
Proposal for Public Assistance 406 Hazard Mitigation	AZ PA 204-17	USE STATE FORM

Request for Payment	AZ PA 204-15	USE STATE FORM
Request for Public Assistance	AZ PA 204-3	90-49, SEP 98
Scope of Work Standard Comments	AZ PA 204-21	USE STATE FORM
Special Considerations Questions	AZ PA 204-6	909-120, NOV 98
Validation Worksheet	N/A	90-118, NOV 98